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ABSTRACT

This manual is one of 10 completed in the Ohio Management Improvement Program (MIP) during the 1971-73 biennium. In this project, Ohio's 34 public universities and colleges, in an effort directed and staffed by the Ohio Board of Regents, have developed manuals of management practices, in this case, concerning personnel management. Emphasis in this manual is on organizing for personnel management in the universities; planning, policies, and procedures in personnel management; personnel functions; and reporting, controlling, and evaluating the personnel program. (MJM)

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PERSONNEL MANAGEMENT -- UNIVERSITIES

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PERSONNEL MANAGEMENT

Universities

Management Improvement Program
Ohio Board of Regents

MIP

Prepared by a task force of university representatives with direction and staff assistance provided by the Ohio Board of Regents.

January 31, 1974

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Foreword

This manual is one of ten completed in the Management Improvement Program (MIP) during the 1971-73 biennium. In this project, Ohio's 34 public universities and colleges, in an effort directed and staffed by the Ohio Board of Regents, have developed manuals of management practices concerning institutional planning, program budgeting, personnel management, computer services, and schedule building and registration. The project is unique in at least two ways — the improvement of internal management processes is the objective of the program, and the method of undertaking it was mandated by the Ohio General Assembly to be participatory.

House Bill 475, the appropriation act passed by the 109th General Assembly in December, 1971, created the MIP, directing that it be conducted by and within the system of state assisted universities and colleges under the direction of the Ohio Board of Regents. This legislative action culminated more than four years of active interest by the legislators in improving the management practices of these schools.

In 1967, a joint House-Senate committee, called the Education Review Committee, was created by the General Assembly. Included in its charge was that of monitoring the management practices of the public universities in Ohio. This committee, in conjunction with the Department of Finance, hired a management consulting firm to perform a management study of the nonacademic areas of the 12 public universities and of the state system as a whole. The report of the consultants, published in December, 1969, made about 100 specific recommendations for management improvement. The Education Review Committee remained interested in appropriate follow-up of the study. With the aid of another individual consultant, language was introduced in the General Assembly which was included in the appropriation for the biennium. Some excerpts of the actual language are as follows:

> "The purpose — shall be to design, test, and install, in each such institution, the most efficient feasible internal organization, planning process, financial management, budget preparation and management, auxiliary services management, space management and plant operation, purchasing procedures and inventory control procedures, student data systems including admission procedures and student registration procedures, management reporting systems, data processing, personnel management, and library management.
>
> Each project is to be conducted in cooperation with a committee of representatives from state assisted colleges and universities.
>
> The director of each project is to be a staff specialist in the employ of the Board of Regents.

FOREWORD

> For guidance in the conduct of each Management Improvement Project, the participants are to consult the findings as set forth in the 1969 Consultant's Report.

Primarily because the appropriation to carry out the program was not commensurate with the depth and breadth of the tasks spelled out in House Bill 475, the scope of the Management Improvement Program in this biennium was restricted to five central areas: Institutional Planning, Program Budgeting, Computer Services, Schedule Building and Registration, and Personnel Management. In addition, the original mandate of H.B. 475 was "to design, test and install the most efficient, feasible procedures" in each of the areas in each of the institutions. Because of the limited time, only 18 months, and the participatory method of undertaking the project prescribed in the bill, the immediate objective set forth in the past biennium was the generation of a manual of best practices in each of the five areas.

As stipulated by the legislature, task forces of institutional representatives were appointed and actively participated in the process. Ten such groups were formed — five for the universities and five for the community and technical colleges. Each task force consisted of representatives qualified in the particular subject matter under study. Each group had at least one member from every school. In total, more than 175 college and university personnel from all over the state were directly involved, as well as many others at each institution through formal and informal contact with the appointed members. Each task force met 8-10 times in the year and a half devoted to the project.

As specified in the legislative bill, the Ohio Board of Regents provided direction and staff for the project. Four professional management analysts, two secretaries, and limited part-time analytical and clerical help constituted the manpower to fulfill that charge.

Three major phases constituted the project:

1. **Inventory the current practices.**
   This phase involved compiling the existing practices and procedures in the five areas at each state-assisted school in Ohio. Approximately five months were devoted to this task.
2. **Determine the issues to be addressed in the manuals.**
   Three months were devoted to discussions about the specific issues to be covered.
3. **Write manuals.**
   Nine months were devoted to writing the manuals. This phase included extensive and detailed discussions by the task forces, much drafting and redrafting by the staff and task force members, and finally correspondence with the manual contents.

The Manuals are practical, informative and useful. For the most part, all of the manuals contain general guidelines, principles and broad recommendations for good management within the universities and colleges, rather than detailed and specific procedures. They also include recommendations which call for direct action by the Board of Regents. Basically, the recommendations seek more effective internal management and accountability, while recognizing the autonomy of each school.

Literally hundreds of people have been involved in this project. All members of the Ohio Board of Regents staff, especially former Chancellor John Millett, and Vice Chancellor William Coulter, have made significant contributions to the entire project. The Regents were particularly fortunate in gathering together the staff for the MIP. Dr. Ronald Lykins, Mr. Lawrence O'Brien, Mr. Douglas Smith, and Dr. Joseph Tucker brought with them considerable experience and knowledge from administrative and academic aspects of colleges and universities, as well as from private industry. Their perseverance and leadership in directing and staffing the task forces were superb. Special thanks must be given to Mrs. Betty Dials, the secretary for the program, who was an inspiration to all.

Many agencies in other states, including colleges, universities and state systems, were contacted and in some cases contributed helpful data to the program. Applicable professional organizations were also contacted and did help.

But more than any other, however, the contributions made by the individual task force members must be mentioned and expanded upon. The more than 175 personnel from the 34 colleges and universities who were the official representatives for their schools contributed long hours, data, ideas, contructive criticisms, changes, and encouragement. They not only worked collectively in the task forces, but also were required to spend considerable time on the respective campuses gathering data together and communicating with many campus constituencies to make sure that their schools were fairly and adequately represented.

The university personnel management task force members were:

Donald S. Balthaser, Director of Personnel
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Douglas H. Smith, Associate Director of Management Services
Ohio Board of Regents (Task Force Director)

Without their sincere participation, this manual would not exist.

Gerald L. Shawhan, Director
Management Improvement Program

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PERSONNEL MANAGEMENT

Universities

1. Introduction

All functions of the university take place through human interaction, either directly or through the direction of others. More than half of all university funds are committed to the utilization of human resources. It is for these reasons that personnel management was selected as one of the first five managerial areas for analysis in the Management Improvement Program.

Personnel practices must be described in the context of the basic mission of the university. This mission is learning, and the means by which learning takes place may be roughly divided into the customary categories of research, instruction and service. The group directly responsible for carrying out these functions is the faculty. The mission of personnel management is to assist faculty and administration in implementing policies in recruiting qualified personnel, developing a climate favorable to staff morale and productive use of time and energy, and providing a measure of the success with which the various parts of the institution carry out their mission. It is important that:

- Personnel management policies and procedures serve and strengthen the academic and educational policies of the university, as an integral part of general university management.
- Academic personnel and administrators be aware of their responsibilities in personnel management.
- Continued effort be devoted to improving utilization of and aiding the development of the university's human resources.
- Needed personnel services be provided to each group of university personnel.

This manual offers guidelines for successful practices, not arbitrary rules. It is important to recognize that this manual:

1. Does not state the one best practice for many areas, simply because it is impossible to define a best practice in those areas.
2. Is not intended to be a rule book. It cannot be followed blindly but is intended only to be suggestive of possible adaptations.

A. Goals of Personnel Management

The goals of personnel management to be discussed in this manual include the following:

1. Recognize and clarify the role of personnel management.
2. Develop a process for forecasting and securing the human resources needed.
3. Design compensation plans that attract, retain and motivate people.
4. Implement development and evaluation programs which recognize

individual development as well as organizational and departmental growth.
5. Implement a participatory process for determining personnel decisions.
6. Analyze and develop effective communication between the personnel staff and academic and operational administrators.
7. Assure an adequate working environment for everyone.
8. Develop a personnel information system that provides useful data on all personnel and personnel programs without violating individual rights.

B. The Purpose of this Manual

The purposes of this manual can be categorized as follows:
- To provide university personnel with an organized discussion of personnel management.
- To offer ideas which can be adapted to improve personnel practices at individual institutions.
- To provide criteria for personnel planning which can be utilized by individual institutions to evaluate and improve their present personnel system.

C. An Overview of this Manual

The manual consists of five chapters, including this introductory chapter. The following four chapters discuss a particular aspect of personnel management. Chapter 2, examines the organizational aspects of personnel management in Ohio's public universities. Chapter 3 deals with personnel planning and implementing those plans through goals, objectives, policies, and procedures.

Chapter 4 is divided into eleven sections, each identifying a personnel function or program considered pertinent to university personnel practices. Included in Chapter 4 is a discussion of recruitment and placement, development and evaluation of faculty, administrators, professional and operational personnel, affirmative action programs, grievance and appeal procedures, and professional associations and unions. A brief preface to Chapter 4, page 33, provides a complete overview of the chapters.

The final chapter deals with the relationship of personnel management to university planning and budgeting, personnel information systems, personnel records and evaluating personnel programs.

The general format of Chapters 2, 3, and 5, and the eleven sections of Chapter 4, consists of an introductory discussion of the pertinent facts, issues and guidelines, concluding with appropriate recommendations for improved personnel practices.

D. Review and Revision of this Manual

Universities are complex and constantly changing institutions, continually responding to new challenges and opportunities for service. It is to be expected that the suggested practices such as those described in this manual will need corresponding revision and development to improve their applicability to the universities as they are at present, and to meet changing

needs. It is essential that university administration and faculty members be involved in this process from the outset.

Task Force Recommendation

Recognizing the continuous changes occurring in higher education and in personnel management, the first recommendation of this Task Force is to establish a committee containing equal representation from university administration and from nonadministrative faculty members which shall from time to time review and recommend revisions of this manual to the Ohio Board of Regents.

2. Organizing for Personnel Management in the Universities

The primary responsibility for personnel management must be assumed by the president and governing bodies as delegated by the Board of Trustees. In addition, each manager of human resources within the university must assume the responsibilities for various personnel functions. Even without a personnel department, personnel functions must be performed.

Because many aspects of personnel management are highly complex and time consuming, the support of the personnel department becomes essential in large organizations in order to facilitate the effective and economical administration of various personnel functions. Those responsible for the personnel functions cannot shift that basic responsibility to the personnel department. The coordinated effort of a number of people is required to achieve the objectives of each university in the personnel area. The roles of the academic and operational administrators, the faculty, and the personnel department staff should be clearly defined to reflect the unique organizational aspects of higher education and the history, current environment and objectives of each university.

This chapter first defines the basic functions of personnel management. Second, guidelines for the assignment of responsibility for carrying out these functions are provided.

A. The Basic Personnel Functions

The basic functions of personnel management can be grouped under seven major headings (the location of each function in this manual is given in the parenthesis):

1. Personnel Planning (Chapter 3)
2. Staffing (Chapter 4, Sections C, F)
   a. Recruitment
   b. Interviewing, Testing and Selection
   c. Placement and Orientation
3. Development and Evaluation (Chapter 4, Sections D, E)
   a. Standards of Performance
   b. Education and Development
   c. Performance Appraisal
   d. Promotions, Transfers and Separations
4. Wages and Salaries (Chapter 4, Sections A, B)
   a. Position Descriptions and Wage Analysis
   b. Wage and Salary Administration
   c. Benefits and Benefits Administration

5. Staff-management Relations (Chapter 4, Sections G, H, I)
   a. Communication
   b. Morale
   c. Standards of Conduct
   d. Corrective Action
   e. Contract Negotiations and Administration
6. Health and Safety Programs (Chapter 4, Section J)
7. Reporting, Controlling and Evaluating Personnel Programs (Chapter 5)
   a. Record Maintenance
   b. Personnel Information Systems
   c. Program Evaluation and Research

B. Roles and Responsibilities

Despite the commonality of general goals, universities differ markedly from one another, and within a given university there are sharp differences in practice among individual colleges and departments, reflecting corresponding differences in customs and values in different professional fields. The result is in many cases a diversity, essential to the effective operation of a university, that has no counterpart in usual business practice.

It is legitimate, therefore, to consider "faculty" and "administration" in terms of the principal activity and function. In what follows, a faculty member is one whose main responsibilities lie in teaching, research and service, activities carried out as a member of an academic department or equivalent unit. Correspondingly, an administrator is one whose main responsibilities is the administration of a department, program or unit.

Personnel management is not the exclusive role of any one group in a university, and common practice and usage may have as much or more to do with what is good and acceptable practice as do formal lines of authority. Steps and procedures that are appropriate in employment of a faculty member may not be at all suitable for staff support personnel, and vice versa. In addition, good practice requires making the right kind of decision (e.g., substantive or procedural review) at a given level.

1. Faculty

University faculty members belong to a profession which, like the medical, legal and similar professions, has generated its own set of standards and established its own means of enforcing them. In the university community, those who are in the best position to evaluate a faculty member's performance are the peers and seniors in the department of his or her academic discipline. In order to maintain the professional integrity and morale of faculty, and above all as a means of maintaining a high standard of excellence in performance, it is essential that each academic department, acting collegially, discharge the responsibiltiy of selecting its members, evaluating performance, and making substantive recommendations for advancement.

These functions are, of course, to be carried out in a manner consistent with general university policies. However, to the extent that these are educational and academic in nature, they are properly determined by the university faculty. At certain stages it is useful and appropriate to broaden the academic evaluation process to include colleagues from other departments or from other universities. The dean of the college in question then normally has the responsibility for seeing to it that the evaluation procedures are

properly and carefully carried out.

It is through these procedures — involving substantive judgments by those qualified to make them — that the faculty and administration discharge their joint responsibility to the university trustees, and in public institutions to the public at large, for maintaining the quality of the educational program. This is how "accountability" works.

2. The Department

The department is the basic unit of the university. Faculty members are recruited, evaluated and recommended for advancement by their own departmental peers, on the basis of criteria and program needs also developed and specified primarily by the department. As remarked above, a faculty member's own colleagues are the ones best qualified to make the necessary judgments involved.

Teaching, research and service activities are also departmental matters. In the determination of who does what, there is a substantial variety of approaches, from department heads who make arbitrary assignments, others who make decisions after extensive consultation with the members of the department, to collegial arrangements worked out by mutual agreement among the department members, sometimes by means of departmental committees. In any event, these are necessarily intradepartmental matters, and good practice dictates that they remain that way. It is to be expected that each department will, consistent with university objectives and policies, work out particular procedures that suit its mission and the attitudes and temperament of its members, and that no two departments will or should operate in exactly the same way.

Good practice calls for a high degree of professionalism in regard to the way in which a department carries out its work. The same is true for the individual faculty member. Within recognized limits, the faculty are responsible for determining when and how they carry out their work. They are the primary persons who determine what that work shall consist of: they decide what research to do, how courses shall be taught, how they will make themselves most effectively available to students, and so forth. Obviously, there are constraints and frameworks within which these activities are carried out, and which the faculty member participates in setting, e.g., the general subject matter and level of each course, the level of demands on students appropriate to a given number of credit-hours, and so forth.

The department also carries out its mission within a framework of more general obligations and constraints. These may be academic in nature such as apply to service courses given primarily for students who will major in other departments or colleges or economic, expressed in the department budget. Constraints and imperatives also flow from whether the nature of a department's program is primarily undergraduate, graduate, or professional, and what role research normally plays in its total activity.

There are policy decisions that are made at the level of the unit responsible for approving degrees and setting degree requirements. These decisions are properly made by the faculty of the college in question — also, within general university-wide constraints.

The contrast between an academic department and its industrial counterpart should now be apparent. In industry, policy is made by management,

and is carried out by employees. In a university, educational policy is developed by those who implement it.

3. Operational Administration

A university is not a business; yet it must do a great deal of business — internal and external — in the process of doing its work. Carrying out this business is almost entirely the responsibility of administration: registration and scheduling; design, construction, maintenance and repair of the physical plant; provision of essential support services. The faculty's involvement in these activities is usually as a recipient of the service, and they normally play little or no part in determining policy in these areas, except on singular occasions such as participation in the design of a building or research facility, or on a committee on parking regulations. Essential to and underlying this business part of the university is the contribution of personnel services.

4. Academic Administration

There is another, and crucial, role of administration: to provide leadership in the growth, development and change in educational policy. This must be a joint enterprise with faculty, if it is to work at all well. Recently at many institutions, students have also become constructively involved in this process. Faculty members share with administrators the responsibility for preparation of the university budget and allocation of resources. Here again, freedom of action is restricted by institutional commitments to existing programs and policies, and activities that cannot be changed rapidly or discontinued abruptly without disrupting the academic program. Moreover, allocation of funds impinges directly on academic and educational policy. The faculty has a legitimate interest in and responsibility for such policy, and should be included in the process of making resource allocation decisions.

5. The Personnel Staff

The primary responsibility of the personnel staff is to discharge, within the framework of established overall university policies, and subject to the direction of administration and faculty, the basic personnel functions. The personnel staff should be prepared to assist institutional administrators, in whatever manner deemed desirable and appropriate.

The precise functions assigned to the personnel staff, and the manner in which they are incorporated into the organizational structure of the university, is a matter that should be left strictly to the individual institution. In some circumstances a separate personnel office may be appropriate; in others it may be more effective for personnel staff to be attached to several administrative units in the institution.

Although nearly all personnel management functions related to academic personnel must be carried out by their academic peers and academic administration, the personnel staff can nevertheless provide significant assistance in the form of maintaining records and keeping such officials as deans, department chairmen, and institute directors informed on current state and federal regulations, and policies and guidelines of professional organizations, such as the AAUP, with respect to hiring, contract provisions, retention, tenure, separation procedures, benefits, health care, retirement programs, and so forth.

Task Force Recommendations

Each university should develop and maintain a personnel staff organized and related to the administrative structure of the university in a manner designed to best fit the needs of the individual institution. This may involve maintaining a personnel office as a separate operating unit. The personnel staff serves administration and faculty in providing personnel related information, and in an advisory capacity in the formulation of policy.

Personnel staff are responsible for providing relevant data and information with respect to all university personnel.

Operational administrators are responsible for the personnel functions that directly affect the people for whom they are accountable.

Academic departments, divisions, and other units such as institutes have collegial primary responsibility for the personnel functions related to academic personnel, subject to administrative review by academic administrators. Good practice calls for judgments and decisions of a substantive nature to be made at the department and college level, with participation at higher administrative levels limited primarily to procedural review.

The personnel staff should provide information and services that will assist the university in recruiting, retaining, and appropriately rewarding the best personnel available within the budgetary constraints of the institution.

Each university should have under continual review the role of the personnel staff, together with its organization and relationship to the rest of the institution.

3. Planning, Policies, and Procedures In Personnel Management

This chapter, dealing with perhaps the most important aspect of personnel management — planning and implementation — is divided into three sections: (A) a general introduction to university planning itself; (B) an extension of university planning to personnel management, offering examples of program objectives evolving from the general goals; and (C) a consideration of personnel procedures for realizing those goals and objectives.

A. Overview of the Planning Process

No matter how far ahead one looks to anticipate probable developments, the real reason for planning is to help decide what to do in the immediate future. Planning, therefore, must be a continuous rather than a periodic activity.

1. Six Steps in the Planning Process

In managing, each organizational unit must consider:

1. Setting goals and objectives.
2. Defining alternate programs.
3. Calculating resource requirements.
4. Selecting among alternate programs.
5. Allocating resources.
6. Evaluating program results.

The planning process evolves from plans to programs to actual activities. Plans should be the documentation of the entire process — written statements indicating the goals and objectives, the programs considered, the analysis and facts used, the conclusions regarding programs to be pursued, and resources allocated for these programs.

B. The Planning Process in Personnel Management

The first step in planning is the setting of goals. Goals are broad in scope, usually difficult to quantify, and have a rather extended time frame — generally two to five years.

1. Goals

Goals serve four purposes:

1. Identification and definition of the mission of the university.
2. Provision of a framework for operational objectives.
3. Provision of the general points of agreement and motivation for those having to actualize the goals.
4. A means of informing the public of the mission or intent of the institution.

To evaluate the adequacy of goals that have been developed, the following should be asked:

1. Are they generally a guide to action?

2. Are they explicit enough to suggest certain types of action?
3. Are they suggestive of tools to measure and control effectiveness?
4. Are they ambitious enough to be challenging?
5. Do they reflect an awareness of external and internal constraints?
6. Can they be related to both the broader goals and the more specific objectives at higher and lower levels in the university?

Goals for a particular program of the university, such as personnel management, tranform broad university goals to a more understandable framework. The goals of personnel management presented in Chapter 1 are examples of such goals, and are used below to illustrate objectives which may be derived from goals.

2. Objectives

Objectives are operational steps toward institutional and program goals. The crucial and basic question that must be asked about an objective is, "Can I measure its success?" If a statement is to qualify as an objective, the question must be answered, "yes." For a detailed discussion of the inertia for setting and evaluating objectives, three references are cited.[1]

Objectives are most easily developed at the program levels of the university where specific program activities are carried out. As an illustration, sample objectives derived from the personnel management goals presented in Chapter 1 (page——) are stated below. It should be noted that this manual does not recommend specific objectives since they are best set by each university, college and department. The objectives stated below are not prescriptive, but are listed as examples of objectives which relate to the eight goals. They are measurable and indicate a time frame.

Goal	Sample Objective
1. Recognize and clarify the role of personnel management.	a. During Fall Quarter, 19__, conduct a random survey of X% academic and operational administrators to determine their role in managing personnel.
	b. By March 31, 19__, X% of all academic and operational administrators will have attended a ten-hour seminar on their role in personnel management.
2. Develop a process for forecasting and securing the human resources needed.	a. During Summer Quarter, 19__, take an inventory of current management manpower in Y office showing age, experience, skills, quality of performance, and promotion potential.
	b. Determine staffing required to support programs/courses to be

Goal	Sample Objective
	offered in fall quarter for next academic year.
	c. The number of full-time faculty in Y department will be increased/reduced by X% by Fall Quarter, 19__.
3. Design compensation plans that attract, retain and motivate people.	a. Complete a position and salary audit of minimum of X% of all administrative positions in the college of Y and establish performance standards for each position evaluated by January 1, 19__.
	b. To assure internal salary equity, by December 15, 19__ (for the following fiscal year), adjust salary schedules for professional personnel in Y program to reduce variance at the same job level to within X%.
	c. Provide tax annuity option to all personnel by fiscal year, 19__.
4. Implement development and evaluation programs which recognize individual development as well as organizational and departmental growth.	a. The administrators in Y office, after attending a seminar on program planning, will increase/decrease the time committed to planning by X% by Winter Quarter 19__.
	b. The course workload of faculty in Y department (determined by weighted student credit hours per quarter) will be reduced/increased X% for the General Studies Program by Fall Quarter, 19__.
	c. All professional employees in Y department will have developed their specific occupational objectives with the director/chairman by April 30, 19__.
5. Implement a participatory process for determining personnel decisions.	a. By Fall Quarter, 19__, at least X% of the membership on the Personnel Policy Committee will

Goal	Sample Objective
	be from the other professional employee group since they are affected by many decisions and recommendations of the committee.
6. Analyze and develop effective communication between the personnel staff and the academic and operational administrators.	a. The Director of Personnel will prepare short periodic memoranda covering policy changes, governmental guidelines, upcoming activities and deadlines, and other personnel matters for all top and middle academic administrators beginning Fall Quarter, 19__.
7. Assure an adequate working environment for everyone.	a. By January 1, 19__, conduct a safety audit of all work locations in X, Y and Z buildings using the guidelines provided by the Occupational Safety and Health Administration. b. Have all faculty, administrative and professional personnel hired after June 30, 19__, submit a health form prior to employment. c. Reduce the accident rate of all maintenance personnel from X% to Y% by June 30, 19__.
8. Develop a personnel information system that provides useful data on all personnel programs without violating individual rights.	a. By Fall Quarter, 19__, analyze all responsibility for preparing personnel reports. b. By January 1, 19__, develop a flow chart and item analysis of all application, placement and performance evaluation forms used by the university indicating where the form originates, is routed, filed and the information needed by all offices using the forms. c. Have X% of the faculty and administrative personnel records computerized by January 1, 19__.

C. Policies and Procedures-Translating Goals and Objectives into Functional Activities

Policies are the basic formal guidelines that govern the personnel function, and should be derived from desired objectives and be based on sound principles. Policies are used as guides to action, but formal procedures derived from the policies are the action itself.

A number of suggested guidelines on policies and procedures were included in a companion volume, **Personnel Management, Two-Year Colleges.** A comprehensive check-list for assessing areas where policies may be beneficial is presented in Appendix 2. In Appendix 3 procedures for classifying an employee's job are described. Finally, flow charts from Kent State University and The Ohio State University illustrating civil service applications and employee tuition reimbursement are presented in Appendices 4 and 5.

A convenient checklist entitled "Your Personnel Policies: Time for a Tune-up?" is published by Prentice-Hall, Inc. as a part of the **Personnel Administration Handbook.**

Task Force Recommendations

Policies and procedures should be developed within each university, and more specifically, each functional area responsible for carrying out personnel objectives and policies. To assist in carrying out these responsibilities, the following recommendations are presented.

All administrators having personnel responsibilities should have stated or written personnel goals, objectives and evaluative measures of the objectives.

The personnel staff should also have stated or written goals, objectives and evaluative measures of the services provided to university administrators, and faculty.

In order to assure functional statements encouraging action and compliance, personnel policies and procedures should:

1. **Reflect the educational policies and serve the basic mission of the university.**
2. **Be derived from clearly defined objectives.**
3. **Be influenced by the individuals affected by the policies.**
4. **Facilitate governance by consensus, as much as possible.**
5. **Be clearly stated in writing.**
6. **Be stated in such a manner as to facilitate accurate interpretation and implementation.**
7. **State where the principal responsibility lies for insuring that the policies are carried out.**
8. **Provide a specific date for review and consideration of alternative policies and procedures.**
9. **Have a degree of flexibility to cope with the "unique" situation.**

A sound personnel program will include the establishment of a comprehensive set of clearly stated institutional policies and procedures, to cover as a minimum the following:

1. **Criteria for the selection, appointment and reappointment of all personnel.**
2. **Continuous program of professional development of all personnel.**
3. **Procedures for compensation of all personnel (salary and fringe benefits).**
4. **Criteria for all personnel assignments (duties, responsibilities, work loads, etc.).**
5. **Continuous evaluation of the performance of all personnel.**

6. Policies governing promotion, tenure, and nonrenewal and termination.
7. Regulations dealing with leaves and retirement.
8. Statements defining and assuring equal opportunity for employment and advancement and goals and timetables designed to increase the representation of women and minorities in the workforce.
9. Procedures for regular evaluation and modification of personnel policies and procedures.
10. Statements defining academic freedom and tenure for faculty.

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1. **Planning/Universities** (Columbus, Ohio: Ohio Board of Regents, 1973); Robert F. Mager, **Goal Analysis** (Belmont, California: Fearon Publishers, 1972); Charles H. Granger, "The Hierarchy of Objectives," (Cambridge, Massachusetts: **Harvard Business Review**, Vol. 42, No. 3, May-June, 1964).

4. Personnel Functions

Preface

This chapter discusses the personnel functions and programs the Personnel Management Task Force identified as warranting particular attention. Because of the scope and length of the chapter, an overview of what is presented would be helpful.

The chapter is divided into eleven sections. The first two sections, Wage and Salary Administration (Section A) and Benefits (Section B), discuss selected factors that contribute to effective wage and benefits programs. Section C considers the important aspects of recruitment, placement and conclusion of employment.

Sections D and E examine the role of development and evaluation in the university. Section D is a comprehensive discussion of faculty evaluation, workloads and tenure. Section E considers the development and evaluation of administrative, other professional, technical and operational personnel.

Section F briefly presents the current directions of the Equal Employment and Affirmative Action Programs. Sections G, H, and I examine particular aspects of corrective action (Section G), grievances and appeals (Section H), and current trends and issues surrounding employee associations and unions (Section I).

Section J discusses current laws that will have a substantial impact on the health and safety program at each university.

The final section of this chapter, Section K, examines supplementary or extramural employment.

A. Wage and Salary Administration — A Classification System for Ohio's Public Universities

1. Wage and Salary Administration in Context

Wage and salary administration is all inclusive in that it is as important to the lowest paid person in the university as it is to the highest. Individual wages and salaries are not only remuneration to the wage earner, but are also costs to the university. Given this perspective, the absolute as well as the relative importance of proper administration of wage and salaries becomes even more obvious.

Clearly, a viable wage and salary administration program is one of the most important functions of a personnel management program. This program involves not only the development and implementation of sound personnel policies and methods of individual compensation and perquisites, but also

consideration of such concerns as position evaluation and classification, compensation systems, performance standards for positions, and individual evaluation.

The performance of these functions should provide universities with the following benefits:

1. Increased ability to plan and control personnel costs systematically.
2. Better understanding of the university's compensation programs.
3. Reduction of frictions and grievances over compensation inequities.
4. Enhancement of personnel motivation and morale.
5. Greater attraction of qualified personnel to the university.

2. The Need for a Classification System

Basic to any viable wage and salary administration program is a system of position classification.

Currently position classification in Ohio's institutions of higher education is often associated with payment categories (type of appointments or payments, timing for payments, etc.) or with employment categories (faculty, administrative, unclassified, classified, student, etc.). A classification system, however, should involve the assignment of positions to groups or categories on the basis of duties, responsibilities, difficulty and complexity, and qualification requirements.

The purpose of this section is to design a classification system which will be responsive to the universities' needs and also satisfy external reporting requirements.

a. The Purpose and Goals of a Classification System

The goals of a classification system are for the most part well known and can be documented. Some of the more common goals are listed below:

1. Provide an orderly basis of translating needs for positions into fiscal terms.
2. Provide sufficient information on position content to aid in analyzing organizational problems, procedures, duplications and inconsistencies.
3. Establish within each institution suitable terminology and definitions.
4. Assure other state agencies, and the public, of a logical relationship between expenditures for personnel services and services rendered.
5. Reduce the variety of titles within each universtiy to manageable proportions so that recruitment, qualification requirements and selection can be more effectively handled.
6. Furnish meaningful position information on which orientation, in-service training and development can be based.
7. Define the content of positions (what is expected) and compare against actual performance (how well it is done).
8. Provide a foundation for common understanding among concerned parties as to the responsibilities assigned to a position and the level of compensation appropriate to the responsibility.

b. The Present Classification System

The Ohio Revised Code currently requires all state-assisted universities to use the position classifications and pay ranges for classified employees as detailed in Section 124.14. This classification plan was created in 1948 to identify and categorize the numerous positions that were in existence or were being created, and to establish a system of pay ranges providing equitable

compensation and incremental increases for each position. Although required to use the state plan, the unique conditions found in each university have made strict compliance difficult. Additionally, the law exempts certain categories of personnel from coverage, including faculty, certain administrative personnel, student employees and others.

In order to meet comprehensive institutional needs in this area, several methods are utilized by the universities to identify personnel not subject to the provisions of Section 124.14. The categories most commonly used are Faculty, Administrative, Unclassified and Student.

The Faculty grouping is a generally well-defined category which requires little definition or refinement. The greatest variance occurs within the Administrative and Unclassified categories because of a lack of precise definitions and systematic procedures for analyzing, measuring and classifying positions. The Student category is discussed in Section C of this chapter.

C. Proposed Occupational Categories

In designing a classification system which would be responsive to the universities' needs and which would also satisfy external requirements, the first step should be the grouping of all positions into occupational categories. In broad terms, these categories should conform to the wage and hour provisions of the Fair Labor Standards Act, and to the applicable provisions of the Ohio Revised Code.

Although no precise formulas exist for assigning positions to an occupational group, the five broadly defined categories described below should provide a basis for a more definite classification system. It should be noted that an individual may hold more than one position or appointment, and thus could be assigned to more than one occupational category. Additionally, an individual may have multiple functions but only one appointment, and, in such cases, a decision must be made as to the primary responsiblity of the individual.

The five proposed occupational categories are:

Executive and Administrative

This category is comprised of those positions where the primary responsibilities include planning, organizing, controlling, and supervising for a functional area within the university. This would include academic administrators such as deans, associate deans, and assistant deans as well as nonacademic administrators. These positions require special preparation or experience, often acquired through baccalaureate or advanced graduate professional programs, which enables independent judgment to be exercised and assignments to be performed with only general administrative direction.

Professional

This category comprises those positions where the primary responsibilities require advanced knowledge in a field of specialized study generally acquired through baccalaureate or advanced graduate/professional programs. These positions require the performance of intellectual work that cannot be narrowly prescribed and which involves originality, creativity, and independent judgment.

There are three subcategories of the Professional category, as follows:

Faculty

This includes all individuals with academic rank whose primary responsibilities to academic units involve teaching, research, public service, or other creative professional work.

Other Instructional Staff

This includes all individuals who are not faculty but whose primary responsibilities involve instructional support in degree-credit programs.

Other Professional

This includes all other professional individuals who are not faculty but whose responsibilities involve research, service, or other creative work.

Technical

This category comprises those positions serving a support role where the primary responsibilites include solving practical problems encountered in broad fields of specialization. These positions require the use of theoretical or scientific knowledge or manual skills of a level generally acquired through at least two years of technical education above the high school level, or the equivalent acquired through on-the-job training.

Office and Clerical

This category comprises those positions which require preparing, transcribing, transferring, systematizing, or preserving written communications and records. Whereas the majority of these positions involve mental and manual skills, a few can include in part or in whole the operation of various office machines.

Service and Maintenance

This category includes those persons engaged in unskilled, semi-skilled or skilled manual occupations or other recognized trades and crafts. These positions require the performance of physical efforts and/or manual skills normally learned through on-the-job or apprenticeship training.

d. Responsibility for Evaluating and Describing Positions

Every system of position evaluation calls for an analysis of individual positions. In most industrial firms, the personnel staff has the responsibility for the position evaluation plan. In institutions of higher education, however, because of the participatory process of governance and administration, this function can best be facilitated when there is involvement of the president, vice presidents, deans, department chairmen, faculty, personnel staff and operating supervisors.

There are some differences among the five categories as regards the responsibility for describing the positions. Basically, these differences are as follows:

Executive positions — Because of the central importance of executive functions to the administration of the university, the chief executive should

have responsibility for determining the executive positions and their commensurate salaries. The personnel staff can advise and assist in this process.

Faculty and other instructional staff — Because of the unique aspect of faculty duties these positions can best be analyzed and described by collegial action of the departments or equivalent academic units concerned. Compensation is generally equated with national and international salary scales.

Administrative, other professional, technical, office and clerical, and service and maintenance positions — The personnel staff should assist the relevant academic units or administration members in developing descriptions of these positions, appropriate to the particular duties, skills, and responsibilities involved.

Task Force Recommendations

The five occupational categories presented and defined above (executive and administrative, professional, technical, office and clerical, and service and maintenance) should better meet the needs of the universities for systematic classification of all employees. Consideration should therefore be given to replacing the State Classification Plan, and implementing this classification structure.

The proposed classification system for occupational categories and the various methods available for evaluating positions should be further studied by the universities to determine their utilization within each institution.

The Ohio Board of Regents should review the occupational categories and consider using them in its Uniform Information System.

B. Benefits

Benefits, often referred to as fringe benefits, represent such a substantial portion of personnel costs that they are now more a part of the fabric than the fringe of the total costs. Between 15 to 28 percent of the total payroll goes to benefits. This section will: define and classify the various benefits and services, present basic principles for analyzing benefits, list suggested benefits, and present a means for providing professional administration of the benefits program. The section closes with a discussion of four issues related to benefits.

1. Benefits Defined

Benefits can be defined as supplements to income received by employees at a cost to the employer, such as paid time off (vacation, holidays and leaves), paid insurance, (health, life, unemployment, and workmen's compensation), employer payments to state retirement systems and other payments (educational reimbursements, athletic and bookstore discounts, subsidized cafeteria, etc.).

The terms used in this manual to categorize benefits are (1) legally required benefits, (2) voluntary benefits, (3) paid services while at work, and (4) other benefits.[2]

2. The Basic Principles in Determining Benefits

Generally, benefits either apply to all persons equally (e.g., most health insurance programs), or reward length of service (e.g., accumulated sick leave and vacations). The cost of all benefits should be compared with (1) the tangible or intangible returns to the university, (2) the total funds available

for wages and salaries, (3) the division of funds among alternative benefit programs, and (4) the cost of the other alternatives, such as training and development, to achieve desired performance and morale.

To further assist in analyzing present or new benefits, nine guidelines are presented in the appendix (Appendix 1.)

3. The Benefits Presently Being Offered

The **Personnel Management Inventory of Current Practices at Ohio's Public Universities** (1972) presented the benefits being offered as of June, 1972 (Table 5, pages 115-117). The scope of benefits at the universities varied with the individual needs of each campus, and occasionally between different employee groups within a university.

The breakdown within the tables is not intended as a base for establishing parameters for the universities. Each university should continually reevaluate its own benefits program and modify it to meet both the changing needs of its employees and the available resources.

4. Suggested Benefits and Policies

To assist universities in considering employee benefits, the following list provides a variety of suggested benefits.

1. **Legal benefits,** such as:
   a. Retirement systems
   b. Unemployment compensation
   c. Workmen's compensation
   d. Holidays
   e. Sick leave
   f. Leave for military service
   g. Jury duty
2. **Voluntary benefits,** such as:
   a. Life insurance, and accidental death and dismemberment coverage
   b. Health and hospitalization insurance
   c. Disability insurance
3. **Paid services while at work,** such as:
   a. Rest periods
   b. Lunch periods
   c. Meals
   d. Travel
4. **Other benefits,** such as:
   a. Vacations
   b. Leaves of absence
   c. Tuition assistance — both for employee development and employee's family
   d. Attendance at professional meetings and conferences
   e. Moving expenses
   f. Discount privileges
   g. Institutional or area credit unions
   h. Recreational and athletic programs and facilities
   i. Day care centers
   j. Uniforms
   k. Parking facilities

l. Office facilities
m. Locker facilities
n. Mail or telephone service
o. Service awards
p. Suggestion awards

5. Administering the Benefits Program

The range, complexity and scope of administrative responsibility requires that major attention be given to developing, implementing and maintaining the benefits program. No matter how constructive the original design of any given benefit or service, it is necessary to provide a continuing administration of the entire benefits program in order to assure its compatibility with other aspects of the personnel program.

Obviously, for many institutions assignment of a full-time person to the benefits program may not be justified. Therefore, a possible approach for providing such service is to have area four-year and two-year institutions (public and private) join together in securing professional personnel for benefits administration. This person may be self-employed, with the institutions contracting for the desired service. Or he could be employed by a specific institution with the other area institutions paying for a percentage of the total expense, based on some formula reflecting the size of the institution and the time committed to administer and advise.

Two factors related to administering the program should be noted. First, if the employees are represented by a union, management may not be able to establish a benefit unilaterally: the issue may be bargained. Second, if employees are not collectively represented, it is still advisable to establish a group of those employees receiving benefits to assist and advise the administrator of the program. Through such a group, attitude surveys can be conducted to assess opinions of present benefits and evaluate desires for benefits not presently provided. They can also serve as yet another link in the important area of communicating the "benefits of the benefits."

6. Issues Related to Benefits

Although many issues could be considered, four which are relevant to higher educational institutions are examined: diversified selection of benefits, the payment of benefits, availability of optional insurance coverage, and benefits for part-time employees.

Diversified selection of benefits. The method of providing benefits may range from having all employees receive the same benefits to allowing selection among available benefits. The latter approach gives employees a choice from among the various elements of the benefits package, the total value of the selections equaling the total supplementary compensation determined for each employee. A variety of methods is possible for determining the amount of compensation through benefits. It can be either a flat percentage of an employee's salary or an adjusted percentage which gives greater weight to lower-salaried employees. It could be determined by an incremental sum based on years of service. Or, the total could also be achieved by a combination of these alternatives.

Employees offered such options, having the possibility of adapting the total benefits program to their individual needs, are likely to show greater motivation in their service to the institution. However, providing these options may be quite difficult to administer. As a means of reducing administra-

tive complexity a limited number of packages, two or three, might be offered as employee options.

Payment of benefits. Partial payment of the cost of benefits by the employee not only reduces the amount of funds committed to the total compensation but also stimulates a greater awareness of the benefits themselves. When benefits are totally paid by the employer, employees may take them for granted. Employee morale, if not heightened, is thus at least kept from a decline caused by a failure of employees to recognize all available benefits. An improved communications program might be another way of stimulating benefit awareness where such stimulation is needed.

Each benefit or service should be examined to determine both the employer's and employee's contribution. Some benefits such as travel insurance may be paid entirely by the university. Others may be paid entirely by the employee, with the university's "contribution" existing in the availability of a group rate (e.g., tax sheltered annuities).

Availability of optional insurance coverage. In the last five to ten years the range and variety of voluntary group insurance plans has greatly increased. Identified as the "mass marketing approach," insurance companies are now offering group insurance for additional life, personal liability, automobile, homeowners, and marine insurance. The savings over individual coverage can be as much as 20% to 30%. The employee pays the entire premium, and payment is usually made through payroll deductions. Some major universities, such as The University of Michigan, University of Pennsylvania, and the University of Notre Dame are now offering these plans as optional benefits.

Benefits for part-time employees. The role of part-time employees has been increasing at many campuses. Their involvement may cover teaching at all instructional levels, professional and technical personnel who are on a call or reduced hourly basis, and clerks and secretaries located primarily in academic offices for a few hours a week. Policies among the universities with regard to benefits for part-time personnel reflect local factors such as the number and need for such employees. Each university should regularly examine its policies in this area.

7. Summary

Employees consider benefits to be a basic element of their total compensation for working. Such a thought is justified when one realizes that a significant percentage of their compensation can be designated as benefits. Therefore, careful consideration must be given to (1) providing adequate funds for basic benefits that significantly contribute to the general health and safety of each employee, and (2) providing optional benefits that mutually contribute to personal growth and self-actualization, as well as taking into account those goals and objectives of the university which define the investment, use, and development of its human resources.

Task Force Recommendations

Each university should continually reevaluate its own benefits program and modify it to meet the changing needs of their employees, the availability of resources and the desired personnel objectives. Also, each university should regularly examine its benefits policies for part-time employees.

C. Pre-employment, Employment, Conclusion of Employment

This section discusses six pertinent topics on university employment policies and procedures. First, a number of alternatives for dealing with program cutbacks and personnel retrenchment are presented. Second, administrative responsibilities for recruitment and selection are briefly considered. The next two topics identify problems applicable to two specific employee groups: the use of tests in screening Classified personnel, and factors to consider when employing students. The fifth topic briefly discusses the importance of properly orienting personnel to the university. Finally, the use of exit interviews and the importance of pre-retirement counseling are noted.

1. Problems and Alternatives in Cutbacks and Displacements

For the first time in recent years, colleges and universities are being faced with the need for major cutbacks. A decline in student enrollment has been predicted for the next eight years, with a stabilized decline at fixed levels for the five years thereafter (1982-87)[3].

These changes are being acutely felt in higher education for many reasons: (1) a tremendous growth in colleges and universities over the past two decades has resulted in the establishment of policies and commitments which will not be changed easily; (2) burgeoning diversification and specialization have become an integral part of higher education, making personnel shifts difficult; (3) the rapid growth of some academic disciplines and the decline of others have resulted in noticeable faculty imbalances; and (4) universities and colleges are now faced with a decline in funds available for new programs and major revisions in existing programs, and a changing view of the priorities on which it is to be spent.

Because of these factors, universities have begun to examine ways of dealing with change. Eight alternative methods are discussed below. Some of the methods may be more realistic than others, but all of them should be considered in the course of manpower planning.

a. It is difficult for faculty to change their fields of specialization. However, with a commitment to faculty development, such shifts to neighboring or related fields may be facilitated. Shifts may sometimes be made to other academic areas and might also include non-teaching activities.

b. Some universities may be able to provide employment for main campus faculty in their branches should enrollments warrant it. Such changes involve rank, tenure, salary and morale problems, which are difficult but not insurmountable. In any case, an equitable policy incorporating a three-party agreement is a necessity: The faculty member, the branch director, and the center campus department all have direct interests.

c. Also, on a broader scale, it may be possible for separate institutions to share faculty within geographic areas. Recent examples of institutional consortia in higher education have demonstrated this possibility.

d. Similarly, universities may consider meeting a need for increased personnel in specific areas by appointing part-time or other types of temporary personnel. Such an alternative would not bind the university when the projected stationary enrollment period of the early 1980's occurs.

e. Another possibility is the employment of personnel, particularly faculty, in adult continuing education programs. The enrollment of adult students, especially part-time and some full-time, on many campuses is increasing. Attention should be given to the present and desired status of the

continuing education programs at each institution, and to the increased involvement of faculty.

f. Personnel/position matching programs are directed toward an increased awareness and utilization of the competencies of present personnel. It can be facilitated by a personnel/position or man/job matching system incorporated into the job request and personnel recruitment program. The system may be utilized within institutions for internal matching, and also among area institutions, as suggested above.

g. Another alternative is the consideration of policies, subject to legislative action, which will encourage, or at least make possible, voluntary early retirement either on a permanent or recall basis. Recognizing the positive contribution of senior employees, retirement policies should, however, provide for controlled exceptions. The option for early retirement can be an attractive one through adequate benefits and financial security for those wanting to retire.

h. Finally, when retrenchment is necessary, carefully designed professional leaves for faculty, executives, administrators, or professionals other than faculty might be utilized to improve organizational effectiveness.

2. Pre-employment (Recruitment and Selection)

It is not the intent of this manual to describe the entire recruitment process. Many sources are available which collectively provide an excellent resource for examining present and desired recruitment practices.[4]

Primary recruitment and selection responsibility lies with the departments themselves. Though obviously the Board of Trustees must officially appoint all personnel, recruitment and actual selection takes place in a variety of ways in higher education.

Faculty positions, including chairmen, should involve a great deal of input from peers in the unit concerned, with the faculty playing a dominate role in such selections. Presidential and deans' positions should involve searches and the use of committees to screen and recommend candidates. Such committees usually involve representatives of appropriate constituencies. Other positions may involve extensive assistance from professional personnel staff, as well as suggestions from existing employees concerning potential employees.

Because of Affirmative Action Programs, Fair Labor Standards guidelines, and so forth, recruitment of all personnel should be a coordinated effort. Primary responsibility for selection must remain with the individual department, but someone must be responsible for insuring compliance with Federal guidelines and State Civil Service Laws where applicable.

3. Testing in Personnel Screening

In industry and government, properly validated selection tests have become a well accepted part of the employment procedure. In Ohio's public universities, however, tests are generally limited to persons in the Classified Civil Service. A discussion of testing is included in this manual because of recent note-worthy court decisions. Current interpretation of testing guidelines permits some testing of specific skills shown by job analysis to be substantially involved in the ability to perform in that position. Also, tests designed to demonstrate whether or not a person is trainable may be considered, the criterion again being whether the test bears relationship to specific skills.

The current use of tests, unless proscribed by law, can be summarized as follows:

> Testing in compliance with government regulations now faces technical problems which seem likely to limit the application of testing to larger organizations with the services of a competent psychologist: An acceptable validation study requires the existence of enough people in any one job category to permit the demonstration of statistical significance in a relationship between test scores and measures of job success. A job sample of fifty employees in the same category would commonly be required for this, and the sample could not go below thirty at the minimum.
>
> An additional problem is posed by the government requirement that validation studies be undertaken separately for majority and minority applicants. As the full impact of government regulations comes to be felt, it seems probable that pre-employment testing (with the possible exception of applicants for management, typing, and stenography) will be undertaken by firms with substantial numbers of employees in job categories where testing shows genuine promise.[5]

Validation of test is under question, therefore, testing procedures should be seriously examined. Whenever possible, the university should consider automatic certification of Classified personnel after successful completion of the probationary period when performance tests cannot be validated.

4. Employment of Students

Student employment at the universities is unique to the educational environment and should be noted briefly.

Students may hold positions similar to those held by personnel in other occupational groups, but their service is often either supplemental to the full-time positions, and/or oriented toward educational work experience.

The following criteria can determine the basis for describing student employment. A **Student-Employee** is a person enrolled at a university and compensated by that university for work that is incidental to his academic program. The student-employee is primarily attending school to pursue an academic program.

Student-employees should be distinguished from **Employee-Student** — persons employed by the university who have also enrolled for courses of study that are incidental to their regularly scheduled work. The employee-student is primarily concerned with employment and pursues an educational program on a part-time basis.

One of the primary reasons for identifying student-employees whose employment will not exceed 800 hours in any one calendar year is that they may be exempt from participation in the retirement plans. Because of this criterion, it is important that once a description of a student classification has been determined it remain constant.

Therefore, each university should analyze its present student employment program, and if appropriate, establish a student classification plan. It should be the responsibility of the university to establish an individual's status as either student-employee or employee-student before the individual is placed on the payroll.

Responsibility for coordinating the student-employee program may be assigned to the Student Financial Aids Office, the Student Placement Office, or the office which administers the office and clerical and service and maintenance employee programs.

5. Placement and Orientation of Employees

An effective orientation program insures that new employees get off to the right start. Orientation is the guided adjustment of the employee to the university and his specific work environment. Its purpose is to facilitate a personal transition and help the employee to understand the dimensions of his position, his role in the context of the total university program, and the occupational and interpersonal style of a new environment.

At least three areas of concentration are usually covered in an orientation program. First, the institution — its objectives, philosophy, history and role within its immediate environment. Second, the new employee must comprehend his role and its demands. A third dimension, emphasized for faculty but often overlooked for other employees, is comprehending one's role regarding the students attending the institution. This function must be examined in order to assure an understanding and appreciation of the students' personal and vocational goals as well as their life styles.

Presently, orientation programs are being conducted at most universities. Most are informal, however, with primary responsibility being given to the immediate supervisor, and basic information regarding benefits, payroll, and required procedures being given by some central office. These programs generally need strengthening. Topics which should be covered in orientation are presented in the appendix (Appendix 2).

6. Resignations and Retirements

The use of exit interview forms can help in finding explanations for resignations and high turnover, disclosing significant patterns of low morale, and suggesting revisions in policies and practices.

a. Exit Interviews

An example of an exit interview, a self-completion form in use at Northern Illinois University, is included in Appendix 3. Another type of form, completed prior to the employee's departure and used by Cuyahoga Community College, is listed in the appendix of the **Inventory of Current Management Practices in Ohio's Public Two-Year Campuses** (1972, page 135).

b. Retirement and Pre-retirement Counseling

Few organizations offer any assistance to employees facing retirement, other than to provide basic information on available benefits and procedures for receiving them. Greater attention to retirement adjustment reflects a commitment to: first, an honest concern for the welfare of employees; second, a belief that pre-retirement planning can significantly increase the chances of satisfactory retirement adjustment; and third, assisting in retirement adjustment generates greater commitment while still working. Because of the limited number of employees retiring at any given time, an extensive retirement counseling program could be costly. Universities could cooperate with other area organizations and collectively provide an effective general information and education pro-

gram, and also provide specific assistance to the employees from the university.

Task Force Recommendations

Alternatives for program cutbacks and displacements should be considered by each university. It is extremely important that such planning be projected at least two years because of the long lead time necessary to achieve personnel changes in any particular unit.

Current efforts to recruit from within, accompanied by continued compliance with Federal guidelines and State Civil Service laws should be continued by each university.

Whenever possible, the university should consider automatic certification of Classified personnel after successful completion of a probationary period when performance tests cannot be validated.

Each university should assign to an appropriate administrative office the responsibility for student employment programs. The office should distinguish student-employees from other categories of personnel and should extend personnel management services to all student-employees.

An ongoing orientation program, consisting of seminars, job orientation and guidance, should be established for all employees. The program should be coordinated by the personnel staff in the academic and non-academic areas.

Exit interviews should be conducted with all leaving the university, and their results clearly analyzed with a view to changing policies.

Efforts should be made to provide a greater degree of counseling with regard to retirement and pre-retirement planning.

D. Development and Evaluation of Faculty

1. An Overview of this and the Following Section

Development and evaluation programs are considered to be an integral part of the personnel program for all personnel. The total mission of the university will be furthered by having all of its personnel well prepared and exposed to periodic professional and occupational evaluation and development. Prior to the determination of successful evaluation measures and development programs, however, the university should develop accurate position descriptions and performance standards. Each of the four factors will be considered in the next two sections.

There is a substantial body of literature dealing with the subject of development and evaluation of personnel at all levels in a corporate setting. It is not possible here to review all of the readily available information, but selected readings have been included in the bibliography. This literature contains extensive treatment of the goals, rationale, progress and techniques of development and evaluation.

Literature on faculty development and evaluation in higher education, however, is limited. This section focuses on such issues as faculty evaluation, service and tenure. These issues are unique to higher education and have no direct counterparts in the corporate or industrial environment.

2. Faculty Development

Professional development of faculty has traditionally been encouraged and guided by interaction among faculty in each of the academic disciplines. A major function of the academic department is to provide for such interaction. Learned societies, conventions and national and international confer-

ences serve the same function. Universities may encourage and support such opportunities for faculty development by meeting the expenses of conference attendance, and by offering space and clerical assistance to the national or regional offices of learned societies and their publications.

Professional and research leaves, assistance to faculty members who receive postdoctoral research fellowships, and other opportunities for contact with their professional peers all contribute to the development of higher levels of professional achievement and competence on the part of the faculty. Sabbatical leaves administered for the purpose of faculty development also make valuable contributions to faculty quality.

Programs of evaluation of teaching, opportunities for interdisciplinary experiences in teaching, financial support or reduced teaching loads and assistance where necessary in developing new syllabi and classroom materials, and support of experimentation with new methods in teaching and learning contribute not only to the quality of the curriculum but also to faculty development. Some institutions are beginning to formalize programs of faculty interaction for this purpose, at the departmental, college and university level.

3. Evaluation Procedures for Faculty

Procedures for evaluating faculty vary greatly in form, substance and manner — for a number of reasons. It is difficult to define what is meant by such terms as "instructional," "research" and "public service" objectives. A second fundamental problem is that of measuring quality. However, some basic criteria are necessary for such a program, as shown below.

One important requisite for faculty evaluation is a clear statement, by all groups concerned in the evaluation, of what is expected of a given faculty member. These statements may vary among individuals, departments and colleges within universities, and also among the respective universities, but in any case they should be clearly enunciated.

A second important requisite for a program of faculty evaluation is a clear statement of the frequency as well as the purposes of the evaluation. These factors can be expected to vary from place to place, both inter- and intra-institutionally.

a. Departmental Evaluation

Because of the key role played by the department in faculty evaluation, special emphasis may be given to the factors the department may use in assessing faculty performance. Some of these factors are the following:

1. **Student evaluations of classroom performance.**
   Student evaluation is a widely used method of obtaining information on which to base the evaluation of a faculty member. If used for evaluation purposes, the instrument should be one that has been carefully designed to be valid, and should take into consideration the instructional level, a profile of the students and other pertinent factors. The precise instruments to be used, as well as the conditions under which they are administered, should clearly be left to the judgment of the faculty at the individual institutions.
2. **Annual update of professional vita by faculty members, including such items as:**
   - departmental service activities, such as advisory and committee work.

- intra-university service activities.
- community service and other professional activities.
- publication, research, professional activities (including artistic performance), professional organizations to which the faculty member belongs, including offices held, meetings attended and papers delivered.
- other material the faculty member may provide to peers and chairman, such as professional improvement, new teaching methods and materials employed.

3. **Peer evaluation.** Faculty evaluation may be based on: critiques of research and public service; observations at seminars, colloquia and Master and Ph. D. examinations; prearranged classroom visitation by colleagues; departmental interviews of job prospects; and similar activities. Here again local conditions, as well as the role and mission of the institutions concerned, may indicate a wide variety of techniques involving standards, criteria and basis for peer participation. Many institutions now have promotion and tenure committees made up of faculty at the departmental, college and university level. Serious consideration may be given by individual institutions to the creation and description of the duties of such committees.
4. **Chairman's evaluation.** The evaluation of faculty members should be based on observation of that person's contribution and performance, in light of the criteria outlined above. When the evaluation procedure has been completed, it is advisable for the chairman, or department head, to share the results of the evaluation with the faculty member involved, informing him or her what conclusions were reached and why, and allowing an opportunity for response.

b. Administrative Evaluation

The offices of the Dean, Academic Vice President and President are concerned generally with the integrity of the process which has been used, adherence to college or university policy, and to consistency with stated university goals, missions and priorities. Where matters of professional judgment are in issue at the departmental level, the appropriate administrative offices may suggest additional procedures which may help to resolve genuinely professional controversies. The administration should serve a review rather than a decision-making function in matters of faculty evaluation.

4. Faculty Service

Historically, the difficulty of quantifying service in research, public service and administration has led to emphasis on teaching loads as measured either by student contact hours, credit hours taught, or student credit hours generated.

Traditional guidelines and principles relative to the appropriate instructional assignment for a faculty member in terms of classroom hours per week, or clock hours per week spent in instruction, have been difficult to apply to all institutions. They do not apply equally within the institution to all departments, nor, within the department, to each faculty member. It is recognized that a new effort must be made to address these issues.

Prudent institutional practices require that colleges and departments achieve a reasonable balance of the workload among faculty members, consistent with their diversity of special talents and departmental missions.

a. An Overview of Faculty Service

Often faculty members offer professional services to their academic fields and to the particular collection of academic fields that uniquely defines a given university. Faculty members are teachers and/or public service professionals and are expected to represent the highest level of knowledge attainment and advancement in their chosen fields of study.

They are called upon: (1) by students to teach, advise, counsel and be knowledgeable about the latest research in a field; (2) by state government to teach and also perform research and public service in separately funded projects and agencies; (3) by corporations, government agencies, foundations, and individuals to perform research and provide continuing education and other public services; and (4) by other members of the faculty and administration to serve the teaching, research, governance, planning, evaluation and administrative needs of their fields and those of the university as a whole. Additionally, it is significant to note that faculty members, more than any other members of the university family, may be regularly and measurably engaged in administrative and even executive tasks without being removed from faculty duties or eassigned to another employment category.

It is clear that no two faculty members perform the same services in the same way for their department or for the university. Even a single function such as teaching or research is done in a myriad of ways, by balancing the needs, time, facilities and budget constraints of the department with the skills and abilities of the faculty member and the nature and level of work undertaken.

Frequently, a faculty member has a mix of teaching, research, public service, and administrative assignments simultaneously. Virtually any pattern of assignments can occur in a diverse and comprehensive university, and, when the actual needs of the academic fields are considered, this diversity of assignments is desirable. However, it is difficult to be precise about the equity and sufficiency of faculty service. Like doctors, lawyers, executives and other professionals, the output of faculty members cannot be measured only in quantitative terms or in relation to a given time period.

b. Beneficiaries and Sponsors of Faculty Service

As with other professionals, a faculty member's work is predominately intellectual and varies in character. Unlike most other professionals, a faculty member can and frequently does perform activities in a way that benefits more than one public at the same time. A classic example is the sponsored research project in which a faculty member employs graduate students. Here, at least four benefits accrue from the same activity:

1. The sponsor has his research done under the direction of the faculty specialist he wanted.
2. The student learns by working with the faculty member and may develop a thesis topic as a part of the work.
3. The stipend to the student is a form of student aid in the sense that it permits him to help finance his education.
4. The academic discipline benefits from the new knowledge resulting from the research.

This multi-benefit (or joint product) aspect of a faculty member's activity complicates the problem of who is paying for what. Some faculty members are paid, in part or in full, by specific sponsors of research and public service projects. In this case, the specific activity sponsored (e.g., research project,

conference, workshop, testing service, etc.) has rather clear output requirements (e.g., reports, conference materials and lectures) which in turn determine what activities are performed. The fact that many of these activities benefit instructional and general programs should be taken into account in evaluating faculty service.

The major academic programs of faculty in state-assisted universities in Ohio consist of instructional and general academic activities. The primary source of funding for these programs is state subsidy followed closely by student fees. Additionally, there are various levels of other government, corporate and private support. Without such categories of funding most state-assisted institutions would be unable to function.

Appropriate academic service is difficult to define since programs (1) cross discipline boundaries, (2) involve a variety of instructional, departmental research and service, and academic planning/administrative assignments, (3) can be successfully performed in a variety of ways, and (4) require a large variety of support service to be performed effectively. Because of these unique characteristics, involving complex services at varying costs, there is a general interest, particularly on the part of state government, in providing generic faculty service guidelines or standards.

c. Budgetary Standards for Faculty Service to Instructional and General Programs

One approach, from a state-wide standpoint, has been the use of budgetary models that incorporate generic faculty standards based partially on discipline and partially on level of instruction.

These standards include assumptions about average faculty salaries, average student credit-hour workloads, average support staff, average library and computing expenditures, and average general overhead per 100 F.T.E. students at a given level of study in a broad grouping of disciplines. They are addressed in a reasonably comprehensive way regarding the overall state and student support of instructional and general programs and provide an overall rationale for the statewide support of instructional services.

Because these standards do not recognize institutional and specific discipline or methodological differentials, they are obviously not valid for internal institutional management. They are useful, however, in making rather explicit the level of support and priorities assigned to higher education by the state, and in what students (on the average) are "purchasing" from the university in the way of degree credit programs. On the other hand, models developed for internal academic management should incorporate (1) general research, service, planning and administrative activities, (2) market differentials, when legal, and (3) methodological variances.

d. Activity Standards for Faculty Service in Relation to Instructional and General Programs

Norms for faculty activity, such as credit-hour load, student credit-hour load, classroom contact, student contact, courses per year, etc., applied on an individual basis, are obviously not appropriate to the diversified services expected of faculty. University-wide average of these norms are better only in the sense that they provide more latitude in administrative conformance. Each of these partial measures of activities fails as a generic standard because not everyone agrees on their general applicability.

This dilemma is not unique to higher education faculty activities; it is common to many professional services. Standards of performance for such professionals as doctors, lawyers and legislators are based on the achieve-

ment of desired objectives and not on clock hours expended.

On the other hand, when salaries are being paid for instructional and general services of faculty, it is expected that instructional and general services will be rendered. It is reasonable (and consistent with other professional practices) to expect that the amount of services contracted for from faculty will actually be provided.

Furthermore, it is reasonable to expect, on an individual and discipline basis, that faculty members and academic administrators can account for the specific services rendered.

5. Tenure and its Relationship to Evaluation and Promotion

The 1940 Statement on Academic Freedom and Tenure was issued jointly by the Association of American Colleges and the American Association of University Professors. In the intervening period, although there has been much discussion of the concept, the original document, and the guidelines it presented, and its more recent interpretive comments[6], have made this a most important source of information and action where matters of tenure are concerned. The introductory paragraphs of that document follow:

> The purpose of this statement is to promote public understanding and support of academic freedom and tenure and agreement upon procedures to assure them in colleges and universities. Institutions of higher education are conducted for the common good and not to further the interest of either the individual teacher or the institution as a whole. The common good depends upon free search for truth and its free exposition. Academic freedom is essential to these purposes and applies to both teaching and research. Freedom in research is fundamental to the advancement of truth. Academic freedom in its teaching aspect is fundamental for the protection of the rights of the teacher in teaching and of the student to freedom in learning. It carries with it duties correlative with rights.
>
> Tenure is a means to certain ends; specifically: (1) freedom of teaching and research and of extra mural activities and (2) a sufficient degree of economic security to make the profession attractive to men and women of ability. Freedom and economic security, hence, tenure, are indispensable to the success of an institution in fulfilling its obligation to its students and to society.

Tenure within higher education is composed of these coordinate elements:

1. Academic freedom — enables a faculty member to teach, study and act free from many restraints and pressures that would otherwise inhibit independent thought and action.
2. Peer acceptance — a clear indication from colleagues that the individual acquiring tenure has reached a high level of professional competence in scholarship and teaching.
3. Responsibility to the institution and profession — a further clear indication that the individual has acquired the stature necessary for him to become a guardian of and spokesman for those rights and privileges which are both unique and necessary to preserve the integrity of the academic profession.
4. Employment security — means to promote institutional stability and regard individual service and accomplishment.

Tenure as a process begins with a teacher serving a probationary period of some years before a decision is made concerning tenure. This allows the development of his skills as a teacher and a scholar and gives the university time to evaluate his quality and potential in light of the institution's own educational standards and long-term personnel needs. At the end of this trial period, an "up-or-out" point is reached at which the university may officially grant or deny tenure. There should, of course, be established procedures at each step along the road to acquisition of tenure. These procedures will naturally differ at the several institutions. In every instance, however, their exact nature should be clearly delineated and understood by both faculty and administration.

Clarifying possible misconceptions about tenure does not negate the need to examine critically issues affecting tenure. These can be broadly divided into, first, issues internal to the university, and second, pressures coming from outside the university.

a. Issues Internal to the University

1. **The percentage of tenured faculty is increasing.** Statistics indicate 41-50% of today's faculty have tenure. Tenure is related to age, i.e., the older faculty have earned tenure. It is predicted that the number of faculty in the 40-65 age bracket will increase nationally by 41,000 by 1976. Also, in the period from 1982-90, the total number of faculty is actually expected to decrease by 43,000. There is every reason to believe the average age of faculty in institutions will increase beyond the current figure of approximately 41 years. Furthermore, the proportion in each higher rank will increase to an appreciable degree.[7]
2. **In many disciplines faculty supply will exceed demand for the near future.** Faculties are now faced with a poor job market and poor job mobility at a time when institutions are realizing declining enrollments and funds.
3. **Nontenured faculty are concerned about their status.** Contracts of nontenured faculty are viewed as term appointments with no implied expectation of continued employment. Furthermore, in the absence of a tenure system, qualified individuals may be reluctant to join a university faculty, thus, ultimately adversely affecting academic quality.

b. Pressures External to the University

1. **Action by state government.** Some legislators in Ohio and elsewhere have voiced a concern about a seemingly inverse correlation between the cost of higher education and its performance. Some states have enacted "workload conditions" when passing university budgets.
2. **Action by the federal government.** The federal government is also subjecting the tenure system to new stresses. Grants have been awarded which encourage colleges and universities to undertake educational programs which existing faculty are unprepared to teach. Federal courts have recently rendered a number of decisions on due process for nontenured faculty which may discourage some institutions from a rigorous evaluation of teachers at the end of their term appointments.

3. **Action by faculty unions.** The pressure for collective representation and bargaining by many faculties has tested the general definition of tenure presently accepted by most universities.

c. Alternatives Within the Tenure System

A number of alternatives within the system have been used at various institutions in the country. Each institution should carefully consider the need for and appropriateness of such policies in its own situation.

1. **Assure high standards in granting tenure.** Faculty should be free to set high standards for tenure appointments and enforce these standards vigorously.
2. **Manpower planning.** The fact that tenure is conferred on the basis of merit should be a consideration in the careful planning of future manpower needs for each department and institution.
3. **Develop a valid development and evaluation program.** There appears to be no completely satisfactory faculty evaluation program as yet. Each institution should attempt to refine programs so that they best meet the needs of their own constituents.
4. **Provide for periodic evaluation of tenured professors.** Some institutions have prescribed procedures which allow the department head, faculty peers and students an opportunity to examine the continuing qualifications and performance of the tenured professor. Local conditions do, and should, determine the procedures under which such an evaluation is made, recognizing, however, that tenure is continuing and removal from tenure can only be for cause and according to due process.
5. **Consider early retirement of older faculty.** Early retirement can be accomplished by lowering the age of compulsory retirement, encouraging voluntary retirement, and/or developing a phase-out process with new assignments.
6. **Consider wider use of temporary and short-term contracts.** Such contracts would provide that faculty employment would terminate at the end of the contract period. After suitable review a contract might be renewed, but in no case should the total length of time served by a faculty member on such contracts exceed the probationary period set by the institution for the attainment of tenure.

d. Summary Comments Regarding Tenure

The current debate over tenure is frequently based on unfounded assumptions and incomplete information. History would certainly indicate that for the preservation, and, if possible, the enhancement of serious teaching and scholarship, free from damaging political interference, tenure must be kept. To abolish tenure would certainly do little to improve the instructional process, nor would the difficult task of recruiting and terminating academic personnel be made any easier. The way to insure continued, high-quality, academic performance is to couple the principle of tenure with the principle of accountability, which can be achieved through a system of regular evaluation.

There is presently a great deal of serious discussion on the concept of tenure, both in and out of the academic environment. It is certainly proper for institutions of higher learning to participate in those discussions, analyze them, and draw appropriate conclusions.

Task Force Recommendations

Recognizing possible variations of goals and objectives, it is recommended that each institution continue to refine its evaluation procedures, based in part on the guidelines discussed in this section.

With respect to activity workload standards the following recommendations are made:

1. **A clear and precise statement of institutional objectives for the specific programs of instruction, research and service, expressed in terms of a mission which the department or college is expected to meet, should be developed.**
2. **A clear relationship between "sponsorship" and "activities performed" should be developed.**
3. **Workload standards that are expected to apply on a university-wide basis should seek to assure that reasonable total and proportionate effort is devoted to the programs sponsored. If the instructional and general budget consists primarily of state appropriations and student fees, faculty paid on that budget should devote the amount of time deemed necessary and appropriate to insure and maintain the qualitative aspects of the instructional and general service processes. Furthermore, this time should, on the average, be appropriate between instruction, unsponsored research, unsponsored public service and administration in accord with a pre-agreed university-wide or specific program distribution.**
4. **Program dependent measures such as contract hours, credit-hour loads, student credit hours, student contact, etc., should be investigated on a program-by-program basis in order to assess the impact of alternative methods.**
5. **Complete faculty activity reporting should support the provision of data required in the above points. Such reporting should reflect program, level and specific activity distinctions as well as source of funding.**

The tenure concept in colleges and universities has established itself as fundamentally sound. The academic environment has been enriched throughout its application and the guarantee it has provided for free inquiry. Each institution should therefore reaffirm its belief in the appropriateness of the tenure system and express that belief in vigilant adherence to the procedures, protections and responsibilities which the tenure system requires in order to be effective in practice.

E. Development and Evaluation of Administrative, Other Professional, Technical and Operational Personnel.

At the beginning of the previous section, Section D, the major premises of development and evaluation programs were set forth, along with the need for accurate position descriptions and standards of performance. In this section, these four principles are applied to administrative, professional, technical, and operational personnel.

1. Position Descriptions

A discussion of the importance of position descriptions and the various methods available for analyzing positions is presented in Section A of this chapter. Administrators should frequently review their objectives, along with the manpower and talent required to accomplish them. Accurate and detailed position descriptions should be prepared in concert with the employee

and supervisor for each administrative, professional, technical and operational position. These should relate to the occupational requirements of each university and should, when required, be in compliance with the appropriate laws in the Ohio Revised Code and the Administrative Rules of Director of the Department of State Personnel.

2. Performance Standards

Standards of performance may be based in part on (1) the desired objectives for a given program or department, (2) the activities and responsibilities as enunciated in the position descriptions, and (3) the appropriate standards as perceived by the individual occupying the position and by his administrator and supervisor. Administrators should be encouraged to work with those they manage in developing performance standards for a given period of time. In setting standards administrators should avoid relying solely on quantifiable measures. They are difficult to develop and adhere to, particularly for administrative and professional personnel. What is important to consider is not the imposition of arbitrary standards but the development of meaningful ones, through a study of the individual's contribution to a set of desired objectives which have been mutually developed, evaluated and agreed upon.

3. Performance Evaluation

Performance evaluation involves examining the work that has been done and communicating the administrator's appraisal of the work to the individual. This is one of the most important responsibilities of supervision or administration. Not less than once a year, meaningful performance evaluation sessions should be held between all employees and their immediate supervisors. Employees' strengths in relation to their career development should be highlighted and deficiencies explained, so that they will have an opportunity to improve upon them. Written evaluations should be shown to employees, and they should have the opportunity to make written comments, if they wish to do so, and sign the evaluation form.

An important question is, what are the best appraisal or evaluation techniques for administrative, other professional, technical and operational employees in the universities? The literature on performance evaluation includes a number of readings on various techniques. Selected readings appropriate to higher education have been included in the bibliography.

4. Training and Development

Training and development programs can increase the skills of personnel while providing better service to the university. They would also help to enhance a program of promotion from within, and improve employee satisfaction and retention while reducing the high cost of recruitment and employee retraining.

It may be economically advantageous in many cases to send employees to specialized courses off campus. These might include highly technical courses, management development seminars, and programs introducing new procedures, techniques, or guidelines. In other cases, it would be prudent to bring in specialists to conduct programs for groups of employees rather than having them incur travel, lodging, food and registration expenses on an individual basis.

Maximum advantage should also be taken of in-house capabilities of the teaching faculty and the instructional resources of the university.

Universities and colleges (public and private) in a geographic area could also collectively sponsor and conduct training and development programs in topics of mutual interest.

Each university should review the quantity and quality of development programs which are available for their noninstructional employees. Each university should also consider the establishment of an office for training and development.

This office would be responsible for monitoring and coordinating the training and developmental experiences of administrative, other professional, technical and operational personnel. They could also give appropriate attention to training programs which upgrade the skills of all employees, particularly those from minorities.

Summary

The entire emphases of position descriptions, performance standards, performance evaluations, and training and development should be designed to maximize organizational efficiency and individual effectiveness. The university would benefit greatly if these activities could be maintained at all operating levels in the organization.

Task Force Recommendations

Each university should develop appropriate performance standards and evaluation procedures that reflect the desired objectives of the university and also the environment and characteristics of administrative, other professional, technical, office and clerical, and service and maintenance personnel. At least once a year, a performance evaluation session should be held with each employee.

Each university should also provide appropriate training and development programs for these employees. An office to coordinate training and development programs should be considered.

Each university should develop a mechanism for faculty evaluation of academic administrators.

F. Equal Opportunity and Affirmative Action Programs

The body of federal and state laws and executive orders which govern equal opportunity and affirmative action permeate every aspect of the functioning of a university.[8] The most immediately obvious focus of this body of law is in the area of personnel management where progress toward compliance can be quantified and measured. Better utilization and representation of all human resources in the workforce of a university can be accomplished through conscientious application of equal opportunity programs to personnel policies and procedures.

Each of the state colleges and universities in Ohio has an office or individual whose responsibility is to aid the institution in meeting its affirmative action obligations through identification of pertinent requirements and means for realizing compliance. This represents an area of specialized concern in personnel and a close working relationship between the university department of personnel and the equal opportunity office is necessary for meaningful advancement.

Affirmative Action may be defined as a result-oriented program which is designed to materially increase the presence and distribution of women and

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minorities throughout the university workforce. To this end, institutions must consider five basic steps:

1. Assess the present workforce in terms of minority and female representation.
2. Assess the availabilty of job candidates in the labor market relevant to given positions.[9]
3. Determine the turnover rate and future needs of the university workforce by identifying anticipated vacancies.
4. Set realistic and attainable goals which will advance the university toward an equitable representation of all persons in the workforce.
5. Meet the goals according to a timetable through vigorous and creative recruitment.[10]

It should be noted that the objective means by which the success of an equal opportunity program is measured consists largely of the statistical profile of the workforce.[11] The personnel function of a university can best be responsive to the need for progress in the area through cooperative interaction with the equal opportunity office, and good faith efforts to realize goals.

Another means for assuring the viability of an affirmative action program is to provide training in this relatively new area to appropriate personnel at all levels. [12] It is imperative that equal opportunity programs receive support not only from the highest levels of administration, but also from those individuals who are involved in the day-to-day decisions affecting conditions of employment. In addition, programs directed toward upgrading and better utilizing the talents of presently employed personnel can contribute significantly to an equitable distribution of women and minorities throughout the workforce. Through the conscientious application of the principles of good management and fair and equal opportunity, a university can optimize the utilization of personnel.

Task Force Recommendations

All administrators responsible for developing and implementing personnel policies and procedures must understand fully all equal employment laws and guidelines.

Present communication and organizational relationships between the Affirmative Action Office and those responsible for carrying out policies should be evaluated to assure an effective program.

The active campaign to attract and recruit qualified women and minorities should be continued.

Programs providing opportunities for professional and occupational growth of all employees should be developed or continued.

G. Standards of Conduct and Corrective Action

Standards of conduct aimed at developing employees and correcting deficiencies is essential to all organized group activities. The membership of any organization must abide by some code of conduct. A healthy, positive state of employee relations and increased professionalism is not easy to develop or maintain, as attested by the fact that corrective issues constitute the largest single category of formal grievance cases.

1. Progressive Employee Relations

Corrective actions may be viewed as a form of mutual understanding and development. If corrective action is to be positively accepted, the rules and their reasons should be effectively communicated and corrective action, if necessary, should be *constructive and positive, if possible.* In no event should the action be arbitrary, capricious, or discriminatory. Respect can be increased if corrective action is applied impersonally, without personal animus.

2. The Principles for Administering Corrective Action

In administering corrective action (as well as handling grievances), universities and colleges must constantly be aware of the dual objectives of preserving the interest of the university as a whole and protecting the rights of individuals. Therefore, the following are basic principles of a sound system:

a. **Communication of Definite Policies and Procedures.** All personnel must have knowledge of the rules and standards of professionalism before they can be held accountable. In grievances, arbitrators have rescinded penalties where such was not the case. Hence, it is important to develop and distribute policy statements, rules, codes of ethics and regulations to all individuals, be they administrators, faculty or staff.

b. **Consistency of Corrective Action.** Adoption of uniform procedures and their impartial implementation is a hallmark of effective employee relations. In all cases, it is recommended that due process can be consistently employed prior to any action which might be construed as punitive. There should also be evaluation and appraisal procedures, so that the individual knows where he stands and how he may initiate the necessary corrective action himself. When employees covered by the state Classified Civil Service are involved in situations requiring remedial action, it is recommended that (whenever practicable) a written warning and suspension precede removal or reduction.

c. **Consider the Circumstances of the Case.** Each instance must be viewed individually. Four factors should be taken into consideration: (1) the seriousness and circumstances of a particular situation, (2) the past conduct record of the individual, his length of service and standard of performance, (3) the lapse of time since the last misconduct for which action was necessary, and (4) previous action taken in similar cases.

d. **Reasonable Policies and Standards.** Institutional conditions, work standards and management climate must be such that policies can be capable of attainment. Professionalism, a high standard of ethics, and a sense of fairness should be given primary emphasis rather than punitive reaction. Academic and operational personnel should play a principal role in helping to set these standards which affect their performance evaluation.

e. **Right of Appeal.** The individual being censured must have the right to appeal to higher authorities. This is discussed in Section H of this chapter.

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Task Force Recommendations

Persons in positions of leadership at universities should see that meaningful performance standards are established and that all individuals are given an opportunity to fulfill these standards. If corrective action becomes necessary, *each situation must be handled with equity and objectivity, with due process and* individual development as principal objectives.

Persons in an administrative role should be aware of the principles regarding corrective action discussed in this section.

H. Grievances and Appeals

One of the most important components of an effective personnel management system is a well-designed grievance procedure for all personnel. The grievance procedure is an avenue through which discontent can be expressed rationally and conflict ameliorated. Effective appeal procedures help to stabilize personnel relations within the university. This section considers the current situation in higher education regarding grievance procedures, the basis for and the general steps of a proposed grievance system, and the purpose of arbitration. A regularized grievance procedure culminating in some form of settlement is one of the major contributions of the American union movement. Such grievance procedures bring important elements of due process to the employment relationship. All employees should have available to them such a routine and expeditious appeal of decisions and actions which affect them.

Such procedures are lacking in some institutions of higher education. This is succinctly noted by McHugh in his discussion of academic grievance systems.[13]

1. The Basis for a Grievance Procedure System

a. The importance of grievance machinery lies not so much in its frequent use as in the fact that it is available and can operate as a workable safety valve.
b. The grievance procedure should provide a mechanism for the evolvement and maintenance of stable working conditions during periods of organization change. It should also provide the employee with a point of reference to guide him when there is uncertainty in other phases of the employee-employer relationship.
c. Grievance procedures should improve existing communication and create new channels of communication by establishing greater interaction between decision-makers and employees. It should encourage discussion of policies and procedures by those who must work together at the operating level.
d. The grievance procedure should eliminate problems before they arise. Where this cannot be accomplished, the aim is at least to minimize the severity of the problem. Where a complaint actually exists, the procedure to resolve differences should provide an orderly method of bringing the complaint to the surface so that it can be settled promptly and without discord.
e. The dignity of the individual must be held in the highest regard at all times. The employee should expect to receive prompt and considerate action, consistent with the best interest of the individual and the university.

2. General Procedures of the Grievance System

Unless other wise specified presently in union contracts, handbooks or operating manuals, a grievance system such as the following may be utilized for employees. The system is divided into informal and formal systems. Following are the steps for both systems.

INFORMAL GRIEVANCE SYSTEM

The informal grievance system consists of the following steps:

Step 1. This step consists of "on-the-spot" discussions between the employee and the supervisor or chairman. The complaint may be presented in the company of another employee if so desired. This is a very important step because it represents an attempt to eliminate problems at the point of origin.

Step 2. The employee, the supervisor, or the chairman may wish to have both parties to a grievance give an oral presentation of the matter before the next higher administrative officer. This should be done with the supervisor or chairman in attendance. Again, the employee may present his complaint in the company of another employee. The reviewing officer should give an oral answer to the aggrieved employee within a reasonable time, not more than two working days unless an extension is mutually agreed upon.

Step 3 (Optional Step). An optional step available to an employee recognizes that some types of complaints are of such a sensitive nature that the employee believes he is unable to discuss it with his immediate supervisor or chairman. In such cases, the employee may seek guidance from a third party such as an ombudsman, affirmative action officer, or someone designated by the appropriate vice president. This third party may act as a consultant providing information concerning policies, procedures, directives and regulations which apply and may resolve the complaint or bring about a satisfactory understanding. This person may arrange a meeting between the employee and supervisor if possible. A summary of any such meeting should be written.

FORMAL GRIEVANCE SYSTEM

Step 4. Should the employee continue to be unsatisfied with the decision, he may proceed to the next step — the formal grievance. At this point, the complaint must be written, giving full details and recommended action. The statement is submitted to a University Arbitration Board (or Personnel Relations Committee, or some similar title). This group will gather all pertinent data and conduct a formal hearing to achieve a settlement of the difficulties. If an agreement cannot be reached after the hearing, the Board will meet within a reasonable time, consider the issues, and reach a decision to recommend to the chief executive officer or administrator involved. All parties with then be notified.

Step 5. If the recommendation of the Board is not acceptable to either party, all pertinent data will be presented to a chief executive officer for a final decision. This officer has the opportunity of discussing the problem with others, gathering additional data and referring to procedures up to this point.

3. Grievance Procedures for Faculty

A grievance procedure for faculty is premised on the fact that the university has established machinery for faculty review of termination, tenure, salary and promotion decisions (see other sections of the manual), and that similar procedures are applicable to hearing and acting upon grievances. Unless otherwise specified in existing faculty handbooks or manuals, the following procedures may be considered by each institution:

1. A grievance committee composed of teaching faculty should be established to investigate appeals brought to their attention by an aggrieved colleague. This committee is to have reasonable access to university files and personnel in order to investigate the validity of the appeal. The results of their deliberations will be reported to the Academic Vice President and university President.
2. If the grievance committee is unable to resolve the matter, a special hearing committee may be appointed to make final recommendations to the appropriate executive officer.

4. Arbitration

Although arbitration is usually discussed within the context of collective bargaining, the grievance and arbitration system described above provides for the advantages of arbitration within a general grievance procedure. The purpose of such arbitration is to find a means for the effective resolution of controversy. It is basically an arrangement for settling disputes by calling on the judgment of a neutral party or group, rather than the courts. It is also essential that amicable relations be preserved between disputants, and that the decision be rendered by persons familiar with the university.

The arbitration board or committee generally has no final authority to settle disputes, but it would have the responsibility of recommending specific decisions or procedures for arriving at decisions. Final authority rests with the chief executive officer (appointing authority), acting as an agent for the Board of Trustees, as specified in the Ohio Constitution.

The frequency with which the judgments of such boards are accepted, however, is usually due to the implied tone of reasonableness under which they are issued and the difficulty of rejecting such recommendations without a resultant loss of support from peer groups.

Task Force Recommendation

Each university should establish a grievance procedure for all employees whether represented by an employee organization or not. The process should not be an unnecessarily involved one, but should proceed logically through the series of informal and formal steps, such as those outlined in this section, so that controversy will most efficiently be resolved at the level appropriate to the grievance.

I. Associations, Unions, and other Employee Organizations[14]

Individuals with common interests find it mutually beneficial to come together in some form of organization. Their interest may range from personal and economic security to social and recreational activities and to occupational and professional growth. Often the same organization may be involved in all three interests.

Because of its central interest in Personnel Management, this section of the manual will concentrate on organizations formed for the purpose of representing employees' interest in personal and economic security.

Limiting the discussion to this area does not negate the importance of social and recreational groups, or of professional organizations. Indeed, policies which encourage self-actualization will prove fruitful when conferring on more basic economic and security needs.

This section will examine (1) the factors that contribute to collective representation, (2) various forms of collective representation, and (3) a discussion of four issues usually considered important for discussion with such employee groups.

1. Factors that Contribute to Collective Representation

The purpose of this discussion is to identify factors that result in personnel seeking collective representation. The factors are composed of those that are internal or external to the university.

a. Internal Factors

1. **Wages and benefits.** One of the basic reasons university or college faculty and professional staff persons come together is to improve economic and occupational security. When the individual feels that salary and/or merit pay inequities exist or a disproportionate amount of the budget is expended in areas not directly related to the primary mission of the institution, then that person may seek a collective resolution of the situation.
2. **Collective security.** Changing enrollment and financial support along with inflation is forcing more austere budgets, limited hiring and minimal increases in wages — often an actual loss in real dollars.
3. **Administrative behavior.** Various administrative patterns of behavior, such as a highly authoritarian posture or laissez-faire attitudes may also lead to collective action.
4. **A change in morale and commitment.** This may be caused by (1) the rise of an impersonal bureaucratic structure within the institution, (2) the lack of effective, functional employee organizations, and (3) the decreasing role of the campus as a focus of personal and professional fulfillment and satisfaction.
5. **Increasing role of students.** The collective voice of students, often reflecting a quasi-bargaining unit, has resulted in countermoves by faculty, administrators, and other employee groups to offset the "power" of students.
6. **Institutional governance.** A diminution in or the negation of the degree of involvement in academic governance can lead to a search for alternative organizational or representative structures in an attempt to reassert a lost role.

b. External Factors

1. **Centralized decision-making.** Recent trends in the development of statewide systems of public higher education shift the locus of decision-making upward, and sometimes off the campus.
2. **Governmental actions.** Recent court decisions and state and federal legislative action are breaking down the distinction between tenured and nontenured faculty members. Also, governmental guidelines requiring an accounting of hiring and promotional practices are being invoked.
3. **External associations.** Regional and national accrediting associations and professional organizations have an influence on the program and procedures of the university.

4. **Changes in personnel relations.** Institutions have been marked by growing employee militancy and an increased tendency among employees to view employer and employee in essentially adversary roles.
5. **The results of collective representation at other institutions.** Reports coming from institutions forming unions indicate significant results, apparently achieved through collective bargaining. However, the situation prior to the formation of the union is played down. Personnel at other campuses may form the conclusion that they will experience similar results once they become organized.

2. Forms of Collective Representation

The kinds of groups organized for personal and economic security range from informal, ad hoc groups, formed on an irregular basis to voice their concerns over specific issues, to a fully recognized employee organization having exclusive bargaining status and a financial arrangement (dues checkoff) to assure financial security. **The Personnel Management Inventory of Current Practices** (June, 1972) identified two general types of employee organizations predominate in Ohio's public universities: the formal employee organization and the union. These are discussed below along with an intermediate form.

a. Formal, Nonunion Organizations

General characteristics. A formal nonunion organization is interested in discussing employee-related issues with the administration. It may also serve other social and professional purposes, but such functions are not within the scope of this discussion. The general mode of relations with formal, nonunion organizations is of a collegial or partnership nature, resting on an assumed commonality of interest, joint effort and co-involvement. This "spirit" does not eliminate disagreement, but disagreement can take place without loss of good will through effective channels of mutual communication, consultation and participation. Attempts are made to receive dissent and carry it to constructive outlets.

Examples of formal nonunion organizations. Two general examples can be cited, though these organizations on specific campuses can vary significantly. Among the faculty, the Faculty Senate (Faculty Council, or Faculty Conference Committee are other names) and the American Association of University Professors (AAUP) exemplify this form of representation.[15] They are usually viewed as the primary groups representing faculty in traditional models of institutions of higher learning.

The Faculty Senate is internalized within the formal structure of the university. Officially, it possesses advisory powers, but the Faculty Senate can function as a major decision-making center, particularly in influencing curriculum, teaching and research; it may also influence the distribution of funds. The AAUP is independent of the university structure with voluntary membership. Its influence is primarily through the development of professional standards and examinations of administrative actions as they pertain to faculty.

An example of a similar organization for administrative personnel is the Administrative Senate, recently formed at Ohio University. This group primarily represents the middle managers responsible for the operational activities of the university. The Administrative Senate is modeled after the

Faculty Senate, i.e., it is an internal advisory organization within the formal structure of the university.

An example developed at the University of Oklahoma for all operational employees is the Employee Executive Council. The Council is composed of four groups of employees, each having its own association.[16] Approved by the University's Board of Regents, the Council has been given a budget to provide staff assistance, office space and funds for distributing information.

PRO: Formal Nonunion Organizations. Defenders of the advisory, collegial structure contend that a major factor supporting the use of formal organizations is the sustaining desire to maintain a collegial atmosphere through which disagreements are acknowledged but resolved within a common attitude of mutual support.

Individual goals and organizational goals, and the need to integrate both components for mutually beneficial results, are acknowledged through a partnership basis. Individual and informal relationships are encouraged within this structure. Finally, the individual inputs in decision-making are very real under such a system, and, thus constitute a good method by which an employee's voice may be heard. Collectively, the advisory role can be influential, reaching into areas of major program and fiscal development.

CON: Formal Nonunion Organizations. The same arguments used to defend this organizational relationship are also used by critics to attack it. They contend that, because of the various reference points from which an issue can be viewed, the emphasis upon a participative relationship does not acknowledge the real and basic differences that often occur within an organization. The inherent weakness in any dual system of representation is the impossibility of making any realistic demarcation of responsibility or power. This results in the whipsaw tactics of competing groups, which may ultimately defeat the process.

Also, too much is based upon assumed commonality of purpose, ie., it may be assumed that the strength of the power base of each party in the relationship is not important since all are working for the common good. In reality, however, many are looking toward other forms because of the perceived or real inequality between the parties involved.

b. Union Organizations

General characteristics. The union, whether it be called the association, league, organization, or union, has three fundamental characteristics; First, unions are grounded on the belief that a fundamental and permanent conflict of interests exists between managers and those managed. Second, exclusive representation by the union of all employees within a particular unit is a fundamental goal. Third, unions are structured to serve as the advocate for the individual and/or the aggregate unit of representation consonant with a code of ethics or standards of the profession, trade or craft.

Two union models are evident in universities. The first is the **Industrial Union Model.** In this model, an organization whose structure is external to that of the university is recognized to serve as the bargaining representatives for employees within a specific bargaining unit. Some or all of the employees within the unit are members of the agency or union. Either the members of the union or the unit select employees and/or nonemployees to represent them in bargaining with the employer. Negotiations normally result in written agreement.

The Industrial Union Model places major emphasis, through collective bargaining, on economic issues and personnel administration. Emphasis is given to standard rates of pay, pensions and other pay-related fringe benefits. Stress is given to the procedures for handling disputes and grievances.

The second union model is the **Professional Union Model.** A major difference from the industrial model is the great stress upon professional or noneconomic goals, and the professional standings of the members. Pay and job security still play a central role in union aims, but contract provisions for merit increases are apt to be included. This model may also propose that an individual pursue a grievance with an employer by other channels than those incorporated in the collective bargaining agreement.

Examples of Unions. The Industrial Union Model is most clearly reflected by AFSCME agreements with most of the universities. The only example of the Professional Union Model in Ohio's public universities is Youngstown State University where negotiations have been completed with the local chapter of the Ohio Educational Association. Outside Ohio, 286 institutions have selected a bargaining agent with independent unions or local chapters affiliated with the National Education Association (NEA), the American Association of the University Professors (AAUP), or the American Federations of Teachers (AFT). [17]

PRO: Unions. The most significant gains attributed to collective bargaining have been: (1) broad grievance clauses that provide for review, and sometimes arbitration of a variety of administrative decisions, especially regarding employment, (2) more sizable salary increases, (3) some improvement in fringe benefits, and (4) probably a more rational salary schedule with closer scrutiny of inequities. Assuming that a strong and well-organized bargaining agent exists, the process affords an opportunity to motivate or gain the collective cooperation of the work force. The potential for full and candid communication is enhanced by the process, and discussion is based upon hard information, particularly when discussing economic issues.

Particularly for faculty, proponents of collective bargaining have lauded the systematic procedures established for the improvement, observation and evaluation on nontenured faculty, and the narrowing of the gap between the lower and higher academic ranks. Other advantages would include an affiliation with strong state and national organizations resulting in increased political power, a more meaningful role in the budgeting process, especially in setting priorities, and more explicit procedures for shared responsibilities.

CON: Unions. First, the bargaining relationship changes the basic structure of the university by formalizing an adversary relationship and creating a greater distance between personnel and administration. The traditional self-image of university personnel, particularly faculty, is altered when individuals are redefined as "employees," rather than professionals. Faculty may have a degree of independence and a role in governance not usually provided to employees in business and industry or other areas in the public sector.

Also, decisions are made in total packages rather than piecemeal. Emphasis upon bargaining over compensation and workloads can become inextricably related with academic issues of program and curriculum development. Thus, it would seem that, despite past practices and reserve clauses on prescribed procedures, most of the academic issues are increasingly

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being affected by decisions reached in the bargaining process, and that collective bargaining increasingly includes both economic and academic subjects.

Some critics assert that claims for favorable monetary gain through collective bargaining are false because such claims assume that all that has happened in any case is the initiation of collective bargaining procedures. It is difficult to get any figure that clearly shows monetary gains as an effect of unionization. For example, it is difficult to separate the effects of collective bargaining from the effects of a general inflationary period and increases that would normally be granted.

Finally, collective bargaining adversely affects a college or university principally in the following ways: (1) whereas in most institutions power and control is decentralized, collective bargaining forces the institution to move toward greater centralization of power and control; (2) personnel cuts and control of productivity become strictly administrative responsibilities; (3) unions serve as a medium for communication with the legislature, bringing greater pressure upon them, but having potentially negative effects, particularly if the pressure becomes abrasive; (4) there is a leveling effect of the pay scale; (5) dissenting voices become smothered by the will of the majority; (6) it is not clear who achieves the greater gain — the faculty and staff, the students, or the legislature; and (7) short-term gains are achieved frequently at the expense of long-term gains (e.g., the quality of an institution over a long period may diminish as a result of what appears to be immediately improved positions.

c. Intermediate Forms of Employee Representation

General characteristics. The third general form of employee representation is not so much a totally new model as it is composite of formal and union models. Known as Bilateral Decision-making Models, this approach acknowledges the existence of both advisory and adversary relationships. The objective is to develop the most appropriate form for discussing and deciding on topics of interest to employees.

Three examples can be cited. The first presents a pattern **internal** to the organization in which essentially all important decisions are jointly made. If mutual agreement exists, regarding wages or the terms and conditions of work, for example, joint recommendations are made to the governing body. Budget considerations and review, based on an initial framework established by the administration, would proceed with joint discussion, the employees presenting information on their items of concern, and both parties depending upon rational presentation and argument as opposed to making "demands."

A second example of the intermediate form of representation is the creation of an association which is **external** to or independent of the university. The association would be comprised solely of members local to the institution, would not hire external personnel to represent it in discussions, and would not be affiliated with an external organization whose component units engage in collective bargaining. The association would seek to establish financial independence from the institution and to maintain offices with adequate clerical help, research staff and legal counsel.

A third intermediate model would not involve the establishment of a separate internal or external association, but rather would seek to strengthen

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existing councils within the advisory structure so that they would have quasi-negotiating power, at least for limited areas such as compensation issues. This group or council could be provided with a research and secretarial staff financed from university funds in order that it could present the strongest possible case to the administration.

Examples of Intermediate Models. This alternative model, although having been discussed at length has not been implemented largely because of some of the disadvantages listed below. It has, however, worked at the University of Scranton, where a faculty committee has been recognized, has negotiated with the administration, encountered and resolved difficulties and reached agreements.

PRO: Intermediate Forms of Representation. The intermediate models of representation adopt from formal advisory relationships the theme of mutual cooperation and understanding; from the union model they have sought the benefits of procedural and formalized conduct. It offers input into administrative and financial decisions, while avoiding the lack of clarity in advisory relationships and the polarization of adversary relationships.

Stress is also put upon the need for voluntary acceptance by the administration of the organization's right to join fully in budgetary determination and have access to necessary data and background information. The employees, in turn, also voluntarily agree to try to resolve impasses short of strikes and other pressure tactics.

CON: Intermediate Forms of Representation. It is questionable whether adequate performance and a commitment to a greatly expanded program of participation can be gained from leadership made up of individuals who could only give part-time commitment and, because of shifts in office holding, would never become fully professional representatives. Moreover, the problem of establishing and maintaining an adequate dues structure to cover the expenses of a very active association would be difficult. More importantly, the proposal to make councils, or committees with shifting memberships, co-equal in power to administration officers in the formulation of policy recommendations would, if implemented, exacerbate the problem of identifying responsibilities for carrying out policies.

3. Issues Confronting Employer-Employee Relationships

Issues confronting the establishment of significant relations between administrators and the faculty and staff are extensive. However, this manual will address itself to three of the most important issues:

1. the scope of representation of employee organizations;
2. the rights and responsibilities of the employer (administration); and
3. the rights and responsibilities of employees (university personnel).

a. The Scope of Representation

Who should and should not be represented by the employee organization, or appropriate bargaining unit in union terminology, is difficult to define because of three major factors: (1) homogeneity, (2) exclusive representation and (3) geographic inclusiveness. Each will be discussed briefly.

Homogeneity is concerned with identifying the parameters of the groups representing employees. For maintenance, service, and clerical personnel the group is now easily defined because of civil service classifications and existing agreements defining the bargaining units. Faculty, administrative and professional personnel groups, however, are not so easily defined, because of traditional academic values and practices. As a general guide, an

employee group should reflect a community of interest in salaries, working conditions, hours, factors determining evaluations and promotions, and the like. Also, the organizations already in existence (Faculty and Administrative Senates, AAUP, OEA, AFSCME, OCSEA, etc.) already have defined parameters of representation.

The role of the department chairmen/head is currently in question, i.e., should they be included in the same group with faculty, or do they represent the administration? In this manual, and in many formal employee organizations, this person is considered to be serving in an administrative position having extensive managerial responsibilities, as defined in Chapter 2. Judicial and NLRB rulings in cases of union representation are mixed. The decisions are based on local interpretation of the role of department chairmen. Generally, if chairmen/head has the power to hire, fire, direct, or promote, or effectively recommend such action, they are excluded. If they do not, they are included in the faculty group because of their role as coordinators of faculty activities, serving largely at the faculty's pleasure and being essentially accountable to them.

The second major factor, right of exclusive representation, is also governed by local circumstances. Exclusivity implies that other organizations are denied the right to represent employees. Unless proscribed by law, which is not the case presently in Ohio, various alternatives are available. Organizations internal to the institution, e.g., Faculty and Administrative Senates, and the various sections of this manual can be considered to represent employees of a similar community of interests. This however, should be assured through mutually acceptable procedures for assigning representatives to these committees, and which specify their scope of actions and representation.

Employee organizations external to the institution are often governed by the strength of internal organizations. If a single organization can prove or verify that a majority of the employees are members, they will understandably request exclusive representation. If two or more organizations are comparatively equal in strength, a great deal of unnecessary time and effort may be expended in trying to deal with all of the concerned parties, with the employees, the organizations and the institutions all usually losing out. Some affiliates of the NEA have created negotiating councils in which all organizations participate. Also, in the federal service, under Executive Order 10988, any employee organization may achieve "informal recognition" and is entitled to represent individuals in grievance and appeal procedures.

Geographic inclusiveness, the third factor in determining employee representation, is important because of the existence of multi-campus systems with central and branch campuses. Where authority to make decisions affecting the conditions of employment is located at the system or central level, there are obvious reasons for considering a system-wide unit. However, communications and service to the branch campus employees may be negated. The structure of maintaining local committees to assist and communicate with employers, with a representative group conferring with the appropriate central administrators, appears to be an effective means of maintaining an active employee organization.

b. Rights and Responsibilities

Another difficult issue is the determination of the appropriate rights and responsibilities of the employer (administration) and the employee (faculty and staff). The issue is made difficult by the present state of flux in some key issues, such as participation in decision-making and the variance among institutions in defining and allocating these rights and responsibilities.

Although rights and responsibilities may be difficult to define explicitly, one point remains consistently clear: the ultimate responsibility, accountability and authority is conferred by law to the university officials and the Board of Trustees. Rights and responsibilities granted to others in the university should not be construed as a delegation of this final authority.

Three appendices to this section present documents which contribute to the development of appropriate statements on rights, privileges, and responsibilities. Appendix 4 presents statements on administrative rights and responsibilities. Appendix 5 presents statements on faculty rights and responsibilities, and Appendix 6 presents a similar statement for administrative, professional and technical personnel.

4. Summary

The area of public employment in general has become the new battleground for the labor movement. Public institutions, however, often do not take cognizance of the historical precedents set over thirty years ago in the collective bargaining conflicts in American industry. Instead, many institutions and employee organizations have taken antagonistic poses and issued generalized accusations and grievances, rather than seeking the most positive approach to labor relations. Higher education in particular has an opportunity not available to many other public insitutions; namely, a long experience with the collegial mode. This mode has been advocated as a viable alternative to the union model.[18] Two inherent weaknesses of the traditional model are a lack of adequate grievance procedures and the often exclusive reliance upon an advisory relationship, even though specific issues may warrant a position closer to a bargaining or negotiating relationship. The grievance issue has been discussed in the section on grievances and appeals (Section H). The issue of employer-employee relationships and the potential benefit of negotiating selected economic issues is summarized by Rehmus:[19]

> While there is nothing about negotiations of any kind that creates money where there is none, good negotiations can frequently lead to mutual agreements about unproductive efforts or waste of resources. The resulting savings can then be used for many purposes, one of which is to alleviate the economic discontent of employees. Finally, negotiations are the best way I know for administrators to hear the truths as faculty members and their representatives see them. If these beliefs are not always true, they are, nevertheless, feelings — feelings that far too often get filtered out through the successive layers of executive committees, chairmen, deans, deans' committees and a plethora of vice presidents. It is important for administrators to know these things. One of the greatest virtues of organizational negotiations is that people get told precisely what other people think. In too many institutions today the people at the top genuinely do not know, whether or not they care, what many in the faculty think.

In view of the employer-employee terminolody used in this section, a final work of caution is due: to the extent that university policies suggest an

industrial rather than a distinctly academic model of personnel management, a collegial relationship will be severely hampered.

Task Force Recommendations

Universities should examine all possible forms of employee organizations, considering the positive aspects of any form that will contribute to the desired goals of the university and the individuals within the university.

All employees should have adequate contact and communication, either directly or through representatives, with the administration. The university should give attention to the need of establishing an effective communication network with all employees.

University administrators should keep abreast of issues which cause employees to feel a union is needed. They should be familiar with the grievances that often end in arbitratio, and develop actions that will prevent as many of these grievances as possible from arising.

The statements on rights and responsibilities, presented in the Appendix should be carefully examined and compared with present policies.

Procedures for employee involvement should accomodate both collective and individual representation in order to recognize and acknowledge individual competence and rights.

The traditional model for relations between faculty, administrative, and professional personnel and the administration is a collegial rather than a strictly hierarchical or adversary relation — one established on a rational basis of both shared and separate responsibility and authority which would eliminate competition and serve the broad purposes of the university.

J. Health and Safety Programs

The universities' attention to a general program in health and safety has largely been minimal because of the relatively nonhazardous environment of most university occupations. Normal precautions are taken in the area where the probability of accidents is greater, such as laboratories, hospitals and health centers, physical plants, and maintenance and service areas. The **Inventory of Current Practices** (June, 1972) reported safety programs have been instituted on every campus, but variances in emphasis exist.

Outside factors are now requiring that greater attention be given to occupational health and safety. Workmen's compensation records verify a high relationship between an active safety program and reduced compensation rates.

Another program whose importance is just now being felt is the federal Occupational Safety and Health Act (OSHA). OSHA requires that every employer provide a safe and healthful place to work. Also, employers are subject to announced or unannounced inspection by Compliance Officers of work areas, equipment and conditions. Non-compliance may result in fines and penalties of up to $1,000 a day until the hazard is corrected.

A situation presently exists which exempts all public institutions in Ohio from OSHA. The law allows a state to create its own health and safety plan and take permanent responsibility for setting and enforcing standards. Ohio has issued guidelines for the state departments and agencies that report directly to the Governor.[20] Legislation to include other public employers, such as the universities, was tabled for this legislative session. Therefore, the universities are not required to comply with either the federal or state OSHA.

Nevertheless, it is important that they become familiar with the law, examine present practices and develop a university-wide safety program.

To assist in these activities, the following items are noted:[21]

1. A publication list of information on OSHA is presented in the appendix of this section (Appendix 7).
2. The U.S. Department of Labor has provided suggestions on what employers can do to comply with the act.
   a. Critically examine all existing safety and health conditions.
   b. Analyze, and where necessary strengthen safety and health programs.
   c. Set specific goals for the institution and measure progress on a regular basis.
   d. Designate an individual to be responsible for present and future standards in terms of their significance to the institution.
   e. Organize seminars and meetings of management, supervisors and employees.
   f. Participate with other institutions and associations in the preparations of new and revised standards.
   g. Develop job hazard analyses for all operations where the potential for injury or occupational illness may be significant.

A word should be said about medical examinations. Presently, pre-employment medical examinations are required for specific employees, primarily security and food service personnel. An ideal program would establish pre-employment and periodic medical examinations for all employees. However, the cost for this would be high, and, because of the current financial demands, such an expense could not be easily justified. Therefore, unless sufficient savings can be demonstrated, such as lower charges for workmen's compensation or reduced days off due to illness, medical examinations should be limited to those required by law.

Task Force Recommendation

Because of the increasing importance of maintaining an extensive safety program, a safety officer may be designated at every university and given primary responsibility for analyzing occupational hazards, establishing standards, investigating accidents and developing an extensive safety program.

K. Supplementary Employment

Supplementary employment is defined as employment beyond that undertaken by regular contract whether it occurs within the university or outside it. Faculty members and others traditionally make their services available to business, industry, and the community. Depending on the circumstances, there may be a salary attached to such services.

1. Guidelines for Faculty and Other Professional Personnel

University faculty members and professional personnel are in a unique position in that the places and times of their contractual service are relatively flexible. Thus, a faculty member may meet classes at any hour and may schedule his conferences with students and colleagues over an equally wide range of hours, or a professional employee may be required to spend many additional hours to complete a particular project. In the absence of well-defined and monitored working hours, some accountability is necessary if a

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personnel system is to operate successfully, with the confidence of both faculty and professional personnel, and the public.

It is in the best interest of the university to permit, and to encourage, faculty and professional members to provide services beyond contractual responsibilities in the form of lectures, incidental instruction, and consulting services. Such activities help to keep them up-to-date and professionally alive, often offering practical tests of theoretical concepts. They demonstrate to students, to their peers, and to the public the direct contributions of higher learning to American society.

Proper personnel policies should encourage limited participation in such supplementary services.

a. Policies should limit supplementary services to not more than the equivalent of one day per week on the average.
b. Supplementary services must not interfere with university duties and responsibilities.
c. Supplementary employment within university programs may be arranged to support continuing education and extension programs. Universities should exercise care to avoid continuous and excessive assignments which may limit the effectiveness of the individual in his other duties. Inclusion of such employment in regular contractual assignments should be carefully considered where it may be economical and efficient. Such arrangements are subject to agreement by the faculty member.

2. Guidelines for All Other Employees

a. Supplementary employment must not interfere with responsibilities or performance of work assigned to the employee. This includes performance of overtime or emergency work that may be requested by university.

Task Force Recommendations

Policies regarding supplementary employment should be written and explicit. They should provide flexibility for involvement in outside activities.

The guidelines presented in this section should be evaluated and implemented where applicable by each university.

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2. **Employee Benefits** (Washington: Chamber of Commerce of United States, published annually).

3. Carnegie Commission, **The More Effective Use of Resources,** (New York: McGraw-Hill, 1972), page 111.

4. Dale S. Beach, **Personnel, The Management of People at Work,** 2nd ed. (New York: MacMillan Company, 1970), Chapters 8 and 9; Leon C. Megginson, **Personnel: A Behavioral Approach to Administration** (Homewood, Illinois: Richard D. Irwin, Inc. 1967), Chapter 12; Stanley L. Sokolik, **The Personnel Process** (Scranton, Pennsylvania: International Textbook Company, 1970), Chapters 9 and 17; George Strauss and Leonard R. Sayles, **Personnel, The Human Problems of Management,** 3rd ed. (Englewood Cliffs, New Jersey: Prentice-Hall, Inc., 1972), Chapter 19.

5. Laurence Lipsett, "Selecting Personnel Without Tests," **Personnel Journal** (September, 1972), pp. 649-650.

6. "Academic Freedom and Tenure, 1940 Statement of Principles and 1970 Interpretive Comments", **AAUP Bulletin,** Vol. 56, No. 3, Autumn, 1970, pages 323-326.

7. Robert J. Blackburn, **Tenure, Aspects of Job Security on the Changing Campus** (Atlanta: Southern Regional Education Board, Research Monograph No. 19, July, 1972).

8. **Federal Laws and Executive Orders:**
The Civil Rights Act of 1866
Title VII of the Civil Rights Act of 1964
The Federal Age Discrimination in Employment Act of 1967
The Equal Pay Act of 1963
Title IX of the Higher Education Amendments Act of 1972
Title VII and VIII of the Public Health Service Act

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The National Labor Relations Act
Executive Order 11246 as amended by 11375

State Laws and Executive Orders:
Ohio Revised Cod[illegible] 4112.01-4112.99 as am. L. 1973
Sub H.B. 610 (C[illegible] Fair Employment Practice Law)
Ohio Revised Code, S. 411.17 (L. 1973, Sub. H.B. 961
Governor's Executive Order of January 27, 1972
Governor's Executive Order of September 13, 1973

9. The labor market for clerical workers would, for example, be largely determined by the makeup of the labor force within commuting distance of the university. However, faculty and administrative positions draw upon a national pool of candidates by discipline, so that availability figures should be determined differently in each case.

10. HEW **Higher Education Guidelines, Executive Order 11246,** pages 5-7, identifies some means of developing an applicant pool with appropriate minority and female representation.

11. State of Alabama v. United States, 304 F. 2d 583, 586, (5th Cir.), affd per curiam, 371 U.S. 37 (1962). U.S. v. N.L. Industries, Inc., 5 FEP Cases 823 (8th Cir. 1973); U.S. v. St. Louis-San Francisco Ry., 464 F. 2d 301 (8th Cir. 1972); Carter v. Gallagher, 452 F. 2d 315 (8th Cir. 1971), cert. denied 406 U.S. 950 (1972).
Parham v. Southwestern Bell Telephone, 433 F. 2d 421 (8th Cir. 1970); U.S. v. Wood Lathers, Local 46, 471 F. 2d 408 (2nd Cir. 1973).

12. This aligns with the goals cited in Chapters 1 and 3 of this manual which recommends adequate training of managing personnel.

13. William F. McHugh, "Faculty Unionism," in Bardwell L. Smith, **The Tenure Debate** (San Francisco: Jossey-Bass, Inc., 1973), pages 169-170.

14. Much of the information for this section was gathered from a collection of reports, interviews, and readings compiled by Keith C. Groty, Assistant Vice President for Personnel and Employee Relations, Michigan State University. Another source was William F. McHugh, "Faculty Unionism", in Bardwell L. Smith, ed., **The Tenure Debate** (San Francisco: Jossey-Bass Inc., 1972), pages 129-177.

15. Although the national organization of AAUP has endorsed collective bargaining, most local chapters in Ohio have not selected this mode of representation at this time.

16. Classified: Employee-Management Council; Professional: Association of University of Oklahoma Professional Employees; Administrative Officers: Council of Administrative Officers; Administrative Staff: Administrative Staff Conference; (Source: **The Employee Executive Council,** The University of Oklahoma, a pamphlet published and available from the University of Oklahoma).

17. **Chronicle of Higher Education,** April 30, 1973.

18. George D. Cameron, III, "The Council Approach to Collective Bargaining: A Report on Three Real World Precedents," **Human Resource Management** (Summer, 1972), pages 27-34.

19. Charles M. Rehmus, "Alternatives to Bargaining and Traditional Governance," in Terrence N. Tice (ed.) **Faculty Power: Collective Bargaining on Campus.** (Ann Arbor: Institute of Continuing Legal Education, 1972), pages 97-98.

20. Ohio Public Employee and Health Program, Executive Order of June 29, 1973.

21. From **What You Must Know About The New Occupational Safety and Health Law** (Englewood Cliffs, N. J.: Prentice-Hall, 1972), p.10.

5. Reporting, Controlling and Evaluating the Personnel Program

This chapter is divided into four parts. The first part examines the relationship of personnel management to university planning and budgeting. Next, guidelines are presented for considering and implementing a Personnel Information System. Third, personnel records and the legal requirements pertaining to employee information are briefly examined. The final section examines the important but often neglected areas of evaluation of the personnel program and personnel research.

A. Personnel Management in Perspective of University Planning and Budgeting

Reference has been made throughout the manual to personnel being one element or subsystem of a university-wide system. It is important to clarify this relationship, particularly with regard to three other systems — planning, budgeting and a university-wide management information system.

1. Planning and Personnel Management

The manual **Planning: Universities** identifies as one of five sections of the "Foundation Plan" the need to identify Faculty and Staff Projections (Chapter 5). The plan should develop "goals and objectives for faculty and staff members on an institution-wide basis."

With the manual, and the specific data germane to each institution, those responsible for developing faculty and staff projections should be able to provide thorough reports reflecting both short-range and long-range trends, objectives and projections. The development of the plans can be greatly facilitated with an appropriate personnel information system, described in the next section.

2. Budgeting and Personnel Management

The ability to satisfy personnel requirements depends, in part, on the financial resources of the university. Personnel, in turn, influence finances because of such costs as salaries, benefits, development and administration. Financial management is not the province of personnel management. However, the effectiveness of the personnel program rests in part on the ability of those responsible for personnel to understand the financial factors of personnel management. It is essential that they place primary importance upon:

a. Relating personnel programs with associated costs and benefits, and also the personnel requirements and economic constraints of the university.

b. Cooperation with the financial managers, particularly in determining personnel requirements and the related costs (wages, benefits and development).
c. Assistance to administrators in developing cost criteria to evaluate alternatives in personnel recruitment and development.

Where appropriate, this manual has considered the need for analyzing the cost of personnel programs. Recognizing the loss of what are important nonquantifiable values associated with many personnel programs, the assigning of a dollar value to programs is the most common means of comparing various costs or investments of university funds. Too often important personnel programs, such as development and evaluation have been slighted because of the difficulty in establishing values gained in monetary terms.

A brief word can be said about Human Resource Accounting (HRA) — an organizational accounting and information system which reflects the current condition of and changes in the university's human resources. This approach to budgeting considers human resources in addition to financial and physical resources. It utilizes conventional capital budgeting concepts in determining investments in personnel, and the differential returns which may accrue to those investments.

The HRA model views management and administration as a process of acquiring, developing, maintaining and utilizing an optimal resource mix (physical, human and financial) to achieve organizational objectives. It requires the development of a human resource information system to measure outlay and replacement costs.

This concept is at a preliminary stage. The Institute for Social Research at the University of Michigan has conducted a five-year research program. The results of this study are now being published (refer to the Bibliography), and the model appears to be a viable system for assessing human resource allocations and costs. However, it is quite complex and has not been widely tested in the public sector. Therefore, it is mentioned in this manual only as a model that administrators should be aware of.

3. The University Management Information System and Personnel Management

Another section in the Foundation Plan discussed in **Planning: Universities** is a Management Information System (MIS). The MIS is a primary communication network for (1) providing central, academic and operational managers with necessary information for evaluating, selecting and implementing decisions and plans, and (2) producing operating statistics for correlating deviations between the initial plan and actual performance.

MIS, as a concept, is not new. Every organization has some kind of information system for gathering data on which to base decisions and evaluate programs. With the onset of "the systems approach," however, greater attention has been given to:

a. Delivering information when it is needed so that situations requiring immediate decisions can be controlled and situations not so pressing can be deferred but not delayed to the point of losing control.
b. Providing for horizontal and vertical dissemination of necessary information so that all authorized persons will be adequately informed.
c. Providing immediate access to information to support management decisions in unpredictable situations.
d. Reducing reams of information to meaningful facts for administrators

to use in planning future operations and programs.

Even at the smallest institution, a total MIS is a comprehensive and complex system to implement and maintain, Thus, it is important to develop an operational MIS within each major program area such as personnel.

B. The Personnel Information System

If personnel management is to make sound decisions involving employees, meaningful information on relevant aspects of personnel is required. This information, however, is usually scattered throughout the university. For example, salary data may be filed in the payroll department or personnel office, and position descriptions and vacancies in the personnel office, provost's office or departmental files.

Retrieval of data for any composite report or decision may take hours or even days of searching. Recognizing the need for full, timely and accurate information for personnel decisions, it may be necessary to find new ways to organize, store and retrieve pertinent personnel data.

1. Analyzing the Need for a Personnel Information System

When discussing methods of analyzing the need for a personnel information system, it is important to emphasize that the personnel information system can be any procedure the university feels appropriate for obtaining and analyzing the desired personnel data. This may include both manual and mechanized methods. An institution can analyze their present and desired personnel information system by considering the following factors:

a. The existing problems and desired objectives.
b. The data that is desired and its pertinence.
c. The availability of the appropriate data.
d. The cost of the system versus the savings it might allow.
e. The accuracy and reliability of the system.
f. The flexibility of updating and correcting the system.

This manual will not consider in detail the necessary steps in developing and implementing a personnel information system. Instead, three basic factors to consider when analyzing personnel information systems are briefly discussed: (1) the importance of considering procedural guidelines for the entire system; (2) the use of a modular approach for developing a personnel information system; and (3) the role of mechanized equipment in handling personnel data.

a. Procedural Guidelines

Chapter 3 of this manual provides the general planning procedure for identifying the goals, objectives and alternatives of the personnel program. The following guidelines pertain specifically to the personnel information system.

1. **List all reporting needs.** Personnel reports fall into three categories: (1) **Operational Reports,** day-to-day management of the personnel functions such as department and employee lists; (2) **Regulatory Reports,** required by outside agencies such as OBOR, HEW, Department of Labor, etc., and (3) **Analytical Reports,** less frequently generated reports such as retirement and resignation projections, salary surveys, and organizational analyses.
2. **List all data items.** The base data are the items or information elements from both present and anticipated reports. Sources for identifying data elements, in addition to the reports listed in item 1 above, are Dukes[1] and the Staff Data Element Dictionary published by WICHE.[2]

3. **Examine the Design and Format of all Personnel Forms.** All forms used for university personnel functions are part of the personnel information system. Therefore, all forms should be screened to determine if (1) they meet the objectives of the total system, (2) they are duplicating totally or in part other forms, and (3) their ease in transferring to computer cards or tape via keypunch when necessary. Personnel forms are further discussed in Section C of this chapter.

b. A Modular Approach

Such things as planning, compensation, resignations, employment, classification, development and evaluation are all programs or modules of a general personnel system. Thus, a personnel information system may be built program by program by:

1. Identifying and defining all personnel programs,
2. Going through the three steps described above, and
3. Link each of the programs together in an informational network as shown in Figure 5-1.

An important point, and illustrated in Figure 5-1, is that although specific programs can be effectively developed and utilized, a totally comprehensive personnel information system cannot exist until all programs are linked together. Hence, it is important that the basic system be approved, and all existing modules, such as the benefits program, and future modules, such as new classification plans, comply with the overall objectives and requirements.

c. Mechanized Equipment and the Personnel Information System

Can the personnel information system be implemented without mechanized equipment? The decision to use mechanized equipment, maintain a manual system, or develop a system utilizing both mechanized and manual procedures is governed, in part on four factors: the number of employees, the number of data elements to be maintained in the system, the cost to implement the system, and most important, an evaluation of performance of the present system (e.g., is the needed information identifiable and retrievable within a reasonable time?).

The most common reasons for establishing mechanized systems are that manual systems may be inaccurate, their response time slow, their data inconsistent and complex, and too much duplication of effort may be involved. The **Inventory of Current Practices** (1972) reported an average of 60 to 70 percent of the personnel forms were designed for single use only (completed by an employee or an office and then filed with no further use). It appears, therefore, that mechanization may reduce duplication and the cost associated with completing and filing these forms.

The texts by Dukes and Martion (note numbers 1 and 3) are general references on mechanized personnel information systems. Administrators are also urged to examine **Computer Services: Universities,** prepared by the University Task Force on Computer Services.

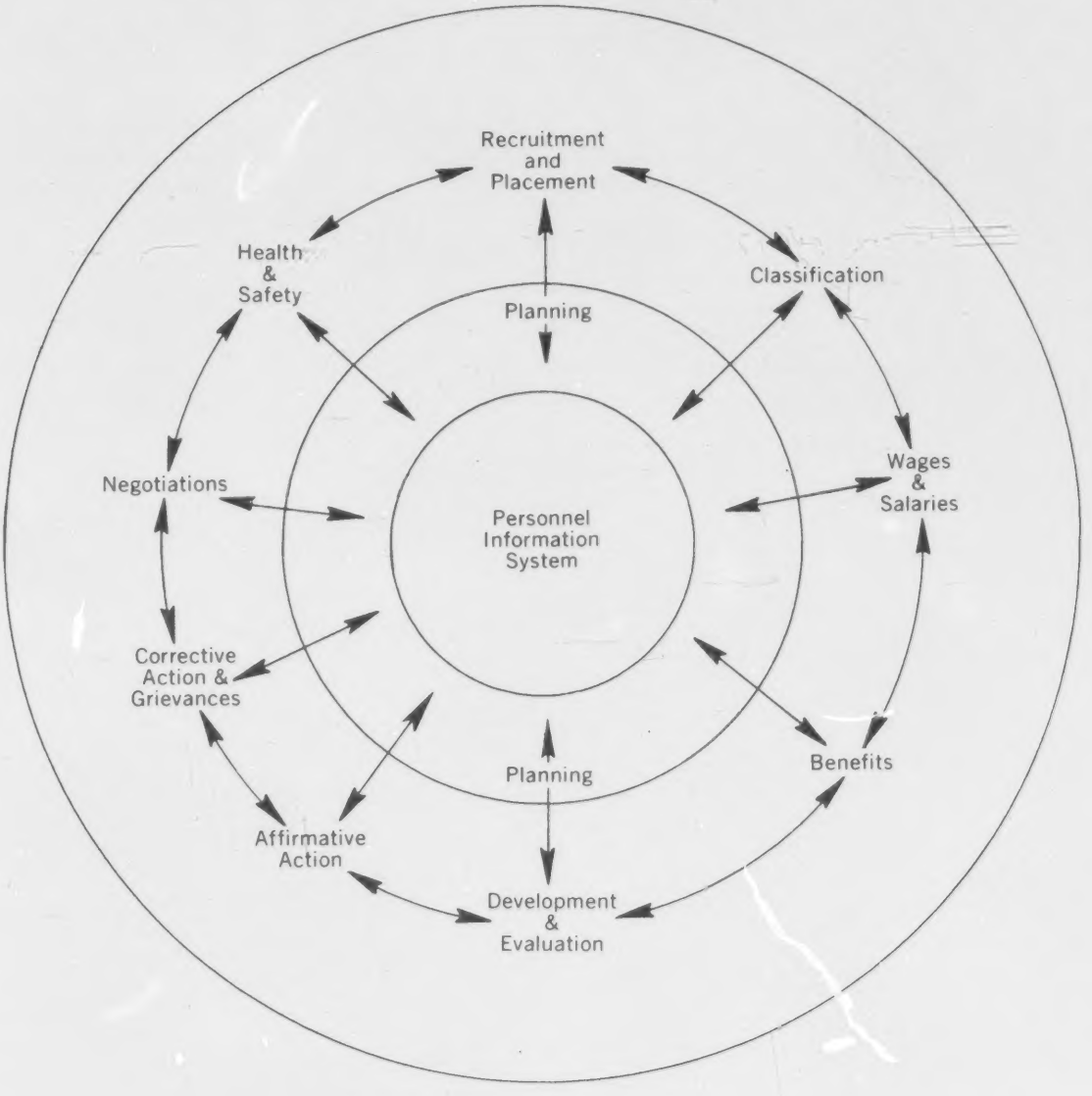
Although personnel information systems are extensively used in business, industry and government, examples in higher education are presently limited. The University of Illinois, Illinois State University, and the University of Massachusetts have developed extensive personnel/payroll systems. Each of these systems warrant further examination, and are cited in the bibliography for this purpose, but it should be emphasized that these systems are

primarily payroll systems with related personnel data being provided.

Some universities, including The Ohio State University, are now developing personnel information systems for the entire personnel program, with payroll being just one function of the total system. Ohio State's system will be in operation in the near future and can be viewed as a functional reference by other universities.

Figure 5-1

SUB-SYSTEMS OF THE PERSONNEL INFORMATION SYSTEM[3]



2. Coordinating the Personnel Information System

Because of the diversity and scope of the personnel information system, three parties must work effectively together to assure the desired results: those responsible for personnel, systems analysts and users of the personnel data.

When utilizing the personnel information system, those responsible for personnel no longer serve as a "post-auditor" of the personnel program and resources. Rather, they must continuously determine whether the requirements of the system are meeting the needs of academic and operational administrators. This involves the ability to measure what is reported against some standard, whenever possible.

The systems analysts serve primarily in a consultative role. They can assist in helping the others realize the potential and limitations of the system. Their general role and responsibilities are further discussed in **Computer Services: Universities.**

The users of the personnel data are central, academic and operational administrators. They have a direct interest in the effectiveness of the system since many of the decisions they must make are based on data provided by the system. Hence, they also serve in a consulting role, identifying what data is needed and when it is needed. They are also the prime source for evaluating the quality of the data received.

C. Personnel Forms and Records

Personnel forms and records are maintained at every institution for recording the employment history of each employee, serving as the primary source of data on all employees. Record-keeping responsibilities are becoming increasingly important for providing valuable and timely information for a variety of decisions.

1. The Purpose of Personnel Records and Forms

At the risk of overemphasizing the obvious, personnel records are maintained for the purpose of making and supporting decisions. Each personnel form is best viewed as an operational tool developed in response to a recurring decision, making it advantageous to formalize the manner of making the decision and collecting the necessary information.

2. Criteria for Evaluating Personnel Records and Forms

Today, because of the complexity of higher education, past decisions are constantly being reevaluated. The information and records systems should also be assessed to assure timely, accurate and pertinent data. Following are six criteria for evaluating all existing and proposed records:[4]

a. Records and forms should be as simple as possible and their intended use readily understood — not only the format and terminology but any accompanying instructions.
b. Records and forms should be designed for multiple use as much as possible. Any forms having only a single purpose or routing point should be carefully examined to determine if they can be incorporated within another form or eliminated.
c. Records and forms help in providing consistent reference points in making decisions. A list of the decisions to be made should be compiled, and the forms should be assessed to determine if the necessary information is being requested.
d. Records and forms should complement and support responsible performance by academic and operational administrators, enabling them to act more independently.

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3. What Should Be in the Personnel Records

The information retained in personnel records should be everything considered reasonably available and helpful to augment and raise the level of decision-making. In short, this would include: (1) the employee's personal data, (2) their assignments and performance, and (3) plans of consequence to their development and evaluation. The **Inventory of Current Practices** (1972) lists specific records that are currently maintained in academic, administrative and staff personnel.

Legal Requirements. Federal and State statutes have identified specific items of information that should be kept on file for each employee. Also, some items are **not** to be placed in employees' records. A list of items that are included in personnel records of over 200 organizations, and the length of time they are retained is included in Appendix 8.

4. Retention of Records

An obvious rule of thumb in determining how long records should be retained holds that records should be disposed of when they are no longer used. However, this is subject to varying opinions, and further clarification is necessary. Appendix 8 lists the length of time specific records should be retained: a minimum of two years, with specific items, such as payroll records, permanently kept on file. Whenever, possible, long-term and permanent records should be reproduced on microfiche or microfilm.

The above rule of thumb is applicable, however, when retaining records on an employee's work history and performance. Retention policies should not prohibit the elimination of historical data made obsolete in subsequent findings. For example, when an employee's current performance indicates that previous breaches of conduct and policy no longer represent present work attitudes, the records of this past conduct should be deleted.

In sum, to assure common practices by all responsible for maintaining records, universities should establish a realistic record retention and disposal schedule for all records. Attention should also be given to the orderly storage of long-term and permanent records.

5. Mechanization of Records

Data gathered and retained through the institution's personnel record system are an integral part of the Personnel Information System. Therefore, a basic objective to design necessary forms and records for mechanization should be considered.

While computerized systems can provide timely, more complete data, decision-makers need to guard relying wholly on computerized (i.e., quantifiable) data. Some information such as evaluative comments on employee performance, is not amenable to being reduced to data elements. It is important to maintain files for qualitative information which supplement and enrich mechanized data.

6. Examination of Personnel Records

Examination of personnel records has generally been limited to administrative personnel, often just those administrators having supervisory responsibility of the individual in question. Examination by employees has either not been permitted, or is only granted upon request for specific information. Currently, these policies are being tested in the courts, with the decisions frequently granting more open examination. A helpful source of current decisions and trends is a monograph by Joanne E. Arnold entitled **Full Disclosure: New and Responsible Attitudes** (Boulder, Colorado: Western Interstate Commission for Higher Education, August, 1972).

Legal Requirements. Section 149.43 of the Ohio Revised Code states:

> All public records shall be open at all reasonable times for inspection. Upon request, a person responsible for public records shall make copies available at cost, within a reasonable period of time.
>
> As used in this section, "public record" means any record required to be kept by any governmental unit, including, but not limited to, state, county, city, village, township, and school district units, except records pertaining to physical or psychiatric examinations, adoption, probation, and parole proceedings, and records the release of which is prohibited by state or federal law.

Also, in a recent opinion to a request by the Universtiy of Toledo regarding disclosure of salaries, the Attorney General stated "any citizen or taxpayer of the State of Ohio who requests to view, or have copies made of, salary or compensation records of employees of the University of Toledo at any reasonable time should be permitted to inspect or have copies of such records at cost."[5]

7. Administrative Responsibility for Personnel Records

Typically in business and industry, as organizations grow more diverse and complex, the entire personnel record system is usually assigned to a central executive officer. The system is viewed as a source of basic data warranting a centralized administration.

Within higher education, this has not generally been the case. Greater importance has been given to locating records in the offices that have the greatest need for such data. Acknowledging the benefits of both centralized and decentralized systems, since organizational responsibilities vary at different universities, the degree of centralization or decentralization of information should be adopted which best meets the needs, on a practicable basis, of each university. Individual personnel files may be located in a central office or assigned to various offices, if reasonable access to a central file is not possible. Duplicate files should be avoided. Policies should be developed which stipulate the data to be retained in the personnel information system and in the individual files.

8. Further Information on Personnel Records

a. This manual has not extensively discussed or examined personnel forms. They are discussed, along with sample forms for position classification, application, employment record, personnel data and an employment status form designed for ease in keypunching the data for computerization, by W. D. Poore, in Asa Knowles' **Handbook of College and University Administration-General** (New York: McGraw-Hill, 1970), Section Six, Chapter 6, pages 6-68 to 6-86.

b. Prentice-Hall has published an informative booklet on record retention, entitled **Your Business Records, A Simplified Guide to What Records You Must Keep and How Long You Must Keep Them** (Englewood Cliffs, New Jersey: Prentice-Hall Inc., 1971). Portions of this booklet are presented in Appendix 8.

c. The Government Printing Office periodically publishes a **Guide to Record Retention Requirements** that lists retention periods of various federal agencies (Washington, D.C.: Superintendent of Documents, Rev. Jan. 1, 1972).

D. Personnel Program Evaluation and Research

Although each will be discussed separately, evaluation and research should be viewed as a unified tool for evaluating past and present performance in order to improve future personnel programs and decisions. This section first considers methods of personnel evaluation, particularly the personnel audit of programs and policies. Second, personnel research is discussed, recognizing, however, the limited time the personnel staff may commit to research, but still having a responsibility for being aware and making others aware of pertinent personnel findings. Finally, the administrative responsibility for evaluation and research programs is clarified.

1. Personnel Evaluation

Simply stated, personnel evaluation is the measuring of personnel programs and activities in order to better plan future programs, and reduce the risk when developing new programs.[6]

Personnel Audits. Among the available evaluation procedures, the periodic audit is a comprehensive, systematic means of analyzing programs, activities and results. Audits serve three basic purposes: (1) they help in implementing sound policies; (2) they assist in evaluating the cost-effectiveness of alternative personnel techniques; and (3) they serve to alert central administrators when existing policies should be changed.

Audit Techniques. These techniques can take a number of different forms, and a well-balanced program is likely to include some application of each:

a. **Interpretation of continuing statistical data:** the most common and easiest to obtain since much personnel data is recorded.
b. **Activity and program analysis:** each program and function could be audited to determine the degree of conformance with the original plan and measurable results.
c. **Problem-centered surveys:** similar to program audits but centered on the analysis of a problem. The key question in such a survey is what can be identified for which something constructive can be done? This outcome is usually a statement of the problem, available alternatives and recommendations.
d. **Attitude and morale surveys:** generally aimed at assessing general attitude of personnel through standardized or locally developed questionnaires, personnel interviews and other less structured techniques.
e. **University-wide surveys:** a university-wide audit intended to gather a wide range of substantive facts about personnel policies, programs, and practices. A questionnaire with carefully structured checklists is usually used.

Personnel audits should be viewed as similar to financial audits, i.e., as ongoing periodic assessments of the university's personnel programs. Generally, program audits should be conducted at points where evaluation information is needed to determine future action and direction.

In addition to the titles noted on page one of this section, an excellent article by L. G. Stephens entitled "Personnel Audit Recommended" in the **Personnel Administrator** (Volume 15) describes a systems approach to personnel audits. Also, in Appendix 9 of this section is a list outlining areas and methods of personnel evaluation.

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2. Personnel Research

Personnel research can be described briefly as the accumulation and analysis of data pertinent to specific areas of personnel management. In view of the limited staff and heavy schedules of personnel administrators, such research is usually assigned a low priority at best. It is important, however, to emphasize the importance of administrators keeping informed of current trends in behavioral research. Specifically, the following approaches should be considered:

1. Collect and review on a regular basis relevant information to be found in the growing body of personnel publications and in other related literature in the behavioral sciences.
2. Establish a library and maintain a system for periodic distribution of pertinent personnel-related material among academic and operational administrators.
3. Conduct personnel audits and other evaluation programs which may reveal significant problems warranting further study. Research projects can be assigned for studying the most important problems. Although limited, funds (soft money) may be available for such studies.
4. University staff members should be encouraged to indentify, develop and conduct appropriate research projects.
5. Students in the university should also be encouraged to initiate appropriate personnel research, performed under close, but not restrictive, supervision.

To generate ideas for personnel administrators, a list of suggested research areas is presented in Appendix 9.

Task Force Recommendation

Each university should analyze its current personnel system and bring about needed change to provide the most effective service possible to all parts of the institution.

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1. Carlton W. Dukes, **Computerizing Personnel Resource Data** (New York: American Management Association, Inc., 1971).
2. James S. Martin, **Data Element Dictionary: Staff** (Boulder, Colorado: Western Interstate Commission for Higher Education, 1972).
3. Adapted from R. L. Martino, **PMS-Personnel Management Systems** (Wayne, Pennsylvania: MDI Publications, 1969), p. 64.
4. Compiled in part from Stanley L. Sokolik, **The Personnel Process** (Scranton, Pennsylvania: International Textbook Company, 1970), pp. 611-612.
5. William J. Brown, Attorney General of Ohio, Opinion No. 73034, April, 1973.
6. Much of this material for this section is from three helpful sources: Stanley L. Sokolik, **The Personnel Process** (Scranton, Pennsylvania: International Textbook Company, 1970), Chapter 23; Michael J. Jucius, **Personnel Management** (Homewood, Illinois: Richard D. Irwin, Inc., 7th ed., 1971), Chapter 28; Michael E. Gordon, "Three Ways to Effectively Evaluate Personnel Programs," **Personnel Journal** (July, 1972), pp. 498-504.

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Appendix 1

SUGGESTED GUIDELINES FOR ANALYZING BENEFITS[1]

Those benefits which are legally required should be met first. This somewhat obvious recommendation is necessary, however, if only to differentiate between required and voluntary benefits. The following guidelines are useful in making that distinction:

1. The institution should determine how it will best meet the economic, physical, and psychological needs of its personnel.
2. Benefits should be confined to activities in which the group is more efficient than the individual. Group coverage is less costly because of reduced administrative costs and increased availability of funds.
3. The benefits should be extended on as broad a base as possible. A program with less than, say, 10 percent of the total number of employees may not produce the desired returns to either the individual or the institution.
4. The long-range consequences should be estimated. Is the proposed benefit just a temporary fad? Will it support or hinder the entire personnel program?
5. The potential income-tax burden to the employees should be determined. Benefits deducted from the employee's salary still require the employee to report adjusted gross earnings (the only deductible benefit being health insurance premiums), whereas employer payment of benefits can be promoted as another benefit, as the employee does not pay a tax on the cost.
6. The potential for minimizing other personnel costs should be determined. Certain benefits act to lessen the impact of other costs such as absences, accidents and communicable illnesses, resignations and grievances.
7. A strong concern for leadership in the overall performance of personnel programs should be demonstrated. Although applicants for positions often evince interest only in the basic benefits program (life and health insurance, retirement, etc.), an innovative approach in the area of benefits will contribute to the general impression of concern for personnel, thus attracting desirable applicants.
8. Universities should attempt to avoid connotations of benevolent paternalism in the granting and administering of benefits. The entire benefits "package" should demonstrate the sincerity and magnitude of the university's concern for the employee's welfare and growth.
9. The costs of the benefits should be calculable, and provision should be made for sound financing. Sound actuarial estimates, based on data applicable to higher education, if possible, should be developed. Also, one of the highest single costs of the entire benefits budget may be the administering of the benefits program. This should be carefully calculated.

1. Compiled from Dale S. Beach, **Personnel, The Management of People at Work**, 2nd ed., (New York: The MacMillan Company, 1970), pp. 793-94; and Stanley L. Sokolik, **The Personnel Process: Line and Staff Dimensions in Managing People at Work**, (Scranton, Pennsylvania: International Textbook Company, 1970), pp. 568-70.

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Appendix 2

SUGGESTED AREAS TO BE COVERED IN THE ORIENTATION OF NEW EMPLOYEES

Pre-arrival Orientation

1. Campus map in relation to city map showing major highways and public transportation routes to the campus.
2. Housing information — guidebooks, real estate brokers, rent rates, proximity of residential areas to campus.
3. Taxes — community tax rates, auto insurance rates, etc.
4. State regulations governing new residents — automobile registration, driver's license, automobile insurance, voting registration.
5. Public and private school system — opening day of classes, colleges and universities in area, adult education opportunities.
6. Local churches.

Campus Orientation

1. Detailed campus map with guide to buildings.
2. Employee parking areas.
3. Facilities instruction — keys, parking permits, nameplate, office space, office equipment, etc.
4. Financial instructions — payroll arrangements, enrollment in group benefit plans.
5. Health instructions — mandatory physical examinations, chest X-rays, etc.
6. Academic instructions (where required) — patent and copyright policies, completion of forms for personnel records, student registration duties.
7. Distribution of appropriate literature — history of institution, all faculty, staff, and student handbooks, catalogs, campus factbook, staff directory.

Institutional Orientation

1. History of school and basic facts about institution if not covered by printed literature.
2. Policies regarding appointments, tenure, supplementary employment, political involvement, etc., if not covered during pre-appointment interviews or included in basic faculty handbook.
5. Nature of student body — admission requirements and policies, attrition, standards etc.

Orientation for Instructional Staff

1. Educational resources:
   a. television.
   b. programmed learning.
   c. library — library resources, divisions and special collections, reference services, catalog, purchasing books through the library.
   d. computation center.
2. Responsibilities as faculty adviser.
3. Unique or special programs in operation — cooperative plan if operative, advanced placement, honors programs, part-time study.

APPENDIX 2

4. Classroom teaching — credits and class hours, course syllabi, lectures versus discussions, conference hours, outside assignments, make-up work, examinations (regulations concerning preparation and typing, giving of examinations, proctoring and security and correcting) warnings, failures, grades and grading practices, quality point averages, reporting of grades, registrar's office, cheating and academic discipline.
5. Research policies — role of faculty and administration, rules governing proposals and contracts, specific research funds available, sponsored research.

Student Activities Orientation

1. Explanation of scope of program.
2. Policies governing organizations and their activities (may refer to student handbook).
3. Activities hours (if applicable).
4. Faculty responsibilities — adviser, chaperone, etc.
5. Faculty tickets to student events.

Community Orientation

1. Annual university functions.
2. Special community offerings — cultural, recreational, etc.
3. Faculty club.
4. List of guidebooks of the community.

APPENDIX 3

EXIT INTERVIEW FORM USED AT NORTHERN ILLINOIS UNIVERSITY[1]

As a past employee, we value your opinions

and comments relative to your employment with us.

Your answers to the following questions will be used to guide us in our future policy decisions.

Please be forthright in your answers, as this information will be kept confidential. At no time will this information be given to future employers nor will it affect our recommendations to your future employers.

It is not necessary that you sign your name to this form. All replies will remain anonymous.

	Please Circle	
1. Was your job properly represented before you were hired?	Y	N
2. Were University benefits, policies and conditions of your employment explained to you?	Y	N
3. As a new employee, did you feel "welcome" at the University?	Y	N
4. Did you receive adequate training and job instruction?	Y	N
5. Did you find your fellow employees and supervisor friendly and cooperative?	Y	N
6. Did your supervisor gain your respect through knowledge of his job?	Y	N
7. Was any favoritism shown in the department?	Y	N
8. Were your working conditions satisfactory?	Y	N
9. Was your salary equitable for the position you held?	Y	N
10. Did you feel your fringe benefits were good?	Y	N
11. Does the University treat its employees as well as other places you have worked?	Y	N
12. Do you feel there was sufficient opportunity for advancement?	Y	N
13. Was the department in which you worked functioning smoothly and efficiently?	Y	N
14. Were you given proper supervision?	Y	N
15. Were your work hours clearly explained and understood?	Y	N
16. Did you have full understanding of department policies and procedures?	Y	N
17. Do University employees, in general, perform their jobs efficiently and cheerfully?	Y	N
18. Did you feel you were contributing to the University's improvement and growth?	Y	N
19. Would you say that the University was a good place to work?	Y	N
20. Would you apply for employment at the University again?	Y	N

Please indicate the department in which you were employed _____
(Optional)

Thank you for your cooperation.
Best wishes for a successful future.

While employed at the University, were you a student wife? ☐ YES ☐ NO

1. Permission for Reprint from: Northern Illinois Univ.: Dekalb, Illinois

APPENDIX 4

RIGHTS AND RESPONSIBILITIES OF THE ADMINISTRATION

Three general sources enumerating the rights and responsibilities of the administration are cited. The first are management functions recommended by the Federal Advisory Commission on Intergovernmental Relations.[1]

1. Direct the work of its employees.
2. Hire, promote, assign, transfer and retain employees in positions within the public agency.
3. Demote, suspend, or discharge employees for proper cause.
4. Maintain the efficiency of governmental operations.
5. Relieve employees from duties because of lack of work or other legitimate reasons.
6. Take action that may be necessary to carry out the missions of the agencies in emergencies, and
7. Determine the methods, means and personnel by which operations are to be carried on.

The second source is taken from the AAHE Task Force Report on Faculty Representation and Economic Negotiations, as quoted by Hickman.[2] In this passage five roles or functions of the administration are stated:

> The administration is not simply a clerical force; it is part of the heart of the institution. As the report notes, the administration has certain roles it must perform. Many of these are also shared in some measure with faculty and students, but much of the proximate responsibility lies with the administration.
>
> A first and fundamental role is that of overall leadership, combining the interests and efforts of a diverse constituency and achieving a commitment by all the various groups to the general objectives of the institution without stifling individual fulfillment.
>
> A second role is that of coordination. Because top-level administrators are responsible for the operation of the entire institution, they presumably can help to keep the pieces fitted together.
>
> A third role is that of planning and innovation. This is not an exclusive role. It is also not a role exercised through fiat, but rather through helping to provide leadership and by suggesting new programs or changes in working with faculty and students.
>
> A fourth function is to help assure that particular departments or divisions meet the general quality standards of the institution. One of the difficulties in peer-group evaluation and in departmental autonomy is that while good departments can get better this way, weak departments can stay weak. The administration should help identify such departments and mobilize faculty involvement in a program to bring them to quality standards.
>
> A fifth function is to serve as a mediator or buffer among the board of trustees, general public, and the faculty.[3]

A third source is the "Statement on Government of Colleges and Universities," prepared by the American Association of University Professors, the American Council on Education, and the Association of Governing Boards of the Universities and Colleges. This statement is reprinted in the following pages, with the kind permission of the **AAUP Bulletin.**

1. Model Statute drafted by Advisory Commission on Intergovernmental Relations (May, 1970), as quoted in Terrence N. Tice, **Faculty Power** (Ann Arbor, Michigan: Institute of Continuing Legal Education, 1972), pp. 29-30.
2. **Faculty Participation in Academic Governance,** Report of the AAHE Task Force on Faculty Representation and Economic Negotiations (Washington, D.C.: American Association for Higher Education, 1967), quoted in C. Addison Hickman, "Faculty Role in Governance," in Asa S. Knowles, **Handbook of College and University Administration, Academic** (New York: McGraw-Hill, 1970), Chapter 7, pp. 6-85 — 6-103.
3. **Ibid.**, pp. 6-87.

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APPENDIX 4

American Association of University Professors

American Council on Education

Association of Governing Boards of Universities and Colleges

Statement on
Government of Colleges and Universities

Editorial Note. The Statement which follows is directed to governing board members, administrators, faculty members, students, and other persons in the belief that the colleges and universities of the United States have reached a stage calling for appropriately shared responsibility and cooperative action among the components of the academic institution. The Statement is intended to foster constructive joint thought and action, both within the institutional structure and in protection of its integrity against improper intrusions.

It is not intended that the Statement serve as a blueprint for government on a specific campus or as a manual for the regulation of controversy among the components of an academic institution, although it is to be hoped that the principles asserted will lead to the correction of existing weaknesses and assist in the establishment of sound structure and procedures. The Statement does not attempt to cover relations with those outside agencies which increasingly are controlling the resources and influencing the patterns of education in our institutions of higher learning; e.g., the United States Government, the state legislatures, state commissions, interstate associations or compacts and other interinstitutional arrangements. However it is hoped that the Statement will be helpful to these agencies in their consideration of educational matters.

Students are referred to in this Statement as an institutional component coordinate in importance with trustees, administrators, and faculty. There is, however, no main section on students. The omission has two causes: (1) the changes now occurring in the status of American students have plainly outdistanced the analysis by the educational community, and an attempt to define the situation without thorough study might prove unfair to student interests, and (2) students do not in fact presently have a significant voice in the government of colleges and universities; it would be unseemly to obscure, by superficial equality of length of statement, what may be a serious lag entitled to separate and full confrontation. The concern for student status felt by the organizations issuing this Statement is embodied in a note "On Student Status" intended to stimulate the educational community to turn its attention to an important need.

This Statement, in preparation since 1964, is jointly formulated by the American Association of University Professors, the American Council on Education, and the Association of Governing Boards of Universities and Colleges. On October 12, 1966, the Board of Directors of the ACE took action by which the Council "recognizes the Statement as a significant step forward in the clarification of the respective roles of governing boards, faculties, and administrations," and "commends it to the institutions which are members of the Council." On October 29, 1966, the Council of the AAUP approved the Statement, recommended approval by the Fifty-third Annual Meeting in April, 1967,[1] and recognized that "continuing joint effort is desirable, in view of the areas left often in the jointly formulated Statement, and the dynamic changes occurring in higher education." On November 18, 1966, the Executive Committee of the AGB took action by which that organization also "recognizes the Statement as a significant step forward in the clarification of the respective roles of governing boards, faculties and administrations," and "commends it to the governing boards which are members of the Association."

I. Introduction

This Statement is a call to mutual understanding regarding the government of colleges and universities. Understanding, based on community of interest, and producing joint effort, is essential for at least three reasons. First, the academic institution, public or private, often has become less autonomous; buildings, research, and student tuition are supported by funds over which the college or university exercises a diminishing control. Legislative and executive governmental authority, at all levels, plays a part in the making of important decisions in academic policy. If these voices and forces are to be successfully heard and integrated, the academic institution must be in a position to meet them with its own generally unified view. Second, regard for the welfare of the institution remains important despite the mobility and interchange of scholars. Third, a college or university in which all the components are aware of the interdependence, of the usefulness of communication among themselves, and of the force of joint action will enjoy increased capacity to solve educational problems.

II. The Academic Institution: Joint Effort

A. Preliminary Considerations

The variety and complexity of the tasks performed by institutions of higher education produce an inescapable interdependence among governing board, administration, faculty, students, and others. The relationship calls for adequate communication among these components, and full opportunity for appropriate joint planning and effort.

Joint effort in an academic institution will take a variety of forms appropriate to the kinds of situations encountered. In some instances, an initial exploration or recommendation will be made by the president with consideration by the faculty at a later stage; in other instances, a first and essentially definitive recommendation will be made by the faculty, subject to the endorsement of the president and the governing board. In still others, a substantive contribution can be made when student leaders are responsibly involved in the process. Although the variety of such approaches may be wide, at least two general conclusions regarding joint effort seem clearly warranted: (1) important areas of action involve at one time or another the initiating capacity and decision-making participation of all the institutional components, and (2) differences in the weight of each voice, from one point to the next, should be determined by reference to the responsibility of each component for the particular matter at hand, as developed hereafter.

B. Determination of General Educational Policy

The general educational policy, i.e., the objectives of an institution and the nature, range, and pace of its efforts, is shaped by the institutional charter or by law, by tradition and historical development, by the present needs of the community of the institution, and by the professional aspirations and standards of those directly involved in its work. Every board will wish to go beyond its formal trustee obligation to conserve the accomplishment of the past and to engage seriously with the future; every faculty will seek to conduct an operation worthy of scholarly standards of learning; every administrative officer will strive to meet his charge and to attain the goals of the institution. The interests of all are coordinate and related, and unilateral effort can lead to confusion or conflict. Essential to a solution is a reasonably explicit statement on general educational policy. Operating responsibility and authority, and procedures for continuing review, should be clearly defined in official regulations.

When an educational goal has been established, it becomes the responsibility primarily of the faculty to determine appropriate curriculum and procedures of student instruction.

Special considerations may require particular accommodations: (1) a publicly supported institution may be regulated by statutory provisions, and (2) a church-controlled institution may be limited by its charter or bylaws. When such external requirements influence course content and manner of instruction or research, they impair the educational effectiveness of the institution.

Such matters as major changes in the size or composition of the student body and the relative emphasis to be given to the various elements of the educational and research program should involve participation of governing board, administration, and faculty prior to final decision.

C. Internal Operations of the Institution

The framing and execution of long-range plans, one of the most important aspects of institutional responsibility, should be a central and continuing concern in the academic community.

Effective planning demands that the broadest possible exchange of information and opinion should be the rule for communication among the components of a college or university. The channels of communication should be established and maintained by joint endeavor. Distinction should be observed between the institutional system of communication and the system of responsibility for the making of decisions.

A second area calling for joint effort in internal operations is that of decisions regarding existing or prospective physical resources. The board, president, and faculty should all seek agreement on basic decisions regarding buildings and other facilities to be used in the educational work of the insitution.

A third area is budgeting. The allocation of resources among competing demands is central in the formal responsibility of the governing board, in the administrative authority of the president, and in the educational function of the faculty. Each component should therefore have a voice in the determination of short- and long-range priorities, and each should receive appropriate analyses of past budgetary experience, reports on current budgets and expenditures, and short- and long-range budgetary projections. The function of each component in budgetary matters should be understood by all; the allocation of authority will determine the flow of information and the scope of participation in decisions.

Joint effort of a most critical kind must be taken when an institution chooses a new president. The selection of a chief administrative officer should follow upon cooperative search by the governimg board and the faculty, taking into consideration the opinions of others who are appropriately interested. The president should be equally qualified to serve both as the executive officer of the governing board and as the chief academic officer of the institution and the faculty. His dual role requires that he be able to interpret to board and faculty the educational views and concepts of institutional government of the other. He should have the confidence of the board and the faculty.

The selection of academic deans and other chief academic officers should be the responsibility of the president with the advice of and in consultation with the appropriate faculty.

Determinations of faculty status, normally based on the recommendations of the faculty groups involved, are discussed in Part V of this Statement; but it should here be noted that the building of a strong faculty requires careful joint effort in such actions as staff selection and promotion and the granting of tenure. Joint action should also govern dismissals; the applicable principles and procedures in these matters are well established.[2]

D. External Relations of the Institution

Anyone—a member of the governing board, the president or other member of the administration, a member of the faculty, or a member of the student body or the alumni—affects the institution when he speaks of it in public. An individual who speaks unofficially should so indicate. An official spokesman for the institution, the board, the administration, the faculty, or the student body should be guided by established policy.

It should be noted that only the board speaks legally for the whole institution, although it may delegate responsibility to an agent.

The right of a board member, an administrative officer, a faculty member, or a student to speak on general educational questions or about the administration and operations of his own institution is a part of his right as a citizen and should not be abridged by the institution.[3] There exist, of course, legal bounds relating to defamation of character and there are questions of propriety.

III. The Academic Institution: The Governing Board

The governing board has a special obligation to assure that the history of the college or university shall serve as a prelude and inspiration to the future. The board helps relate the institution to its chief community: e.g., the community college to serve the educational needs of a defined population area or group, the church-controlled college to be cognizant of the announced position of its denomination, and the comprehensive university to discharge the many

duties and to accept the appropriate new challenges which are its concern at the several levels of higher education.

The governing board of an institution of higher education in the United States operates, with few exceptions, as the final institutional authority. Private institutions are established by charters; public institutions are established by constitutional or statutory provisions. In private institutions the board is frequently self-perpetuating; in public colleges and universities the present membership of a board may be asked to suggest candidates for appointment. As a whole and individually when the governing board confronts the problem of succession, serious attention should be given to obtaining properly qualified persons. Where public law calls for election of governing board members, means should be found to insure the nomination of fully suited persons, and the electorate should be informed of the relevant criteria for board membership.

Since the membership of the board may embrace both individual and collective competence of recognized weight, its advice or help may be sought through established channels by other components of the academic community. The governing board of an institution of higher education, while maintaining a general overview, entrusts the conduct of administration to the administrative officers, the president and the deans, and the conduct of teaching and research to the faculty. The board should undertake appropriate self-limitation.

One of the governing board's important tasks is to insure the publication of codified statements that define the over-all policies and procedures of the institution under its jurisdiction.

The board plays a central role in relating the likely needs of the future to predictable resources; it has the responsibility for husbanding the endowment; it is responsible for obtaining needed capital and operating funds; and in the broadest sense of the term it should pay attention to personnel policy. In order to fulfill these duties, the board should be aided by, and may insist upon, the development of long-range planning by the administration and faculty.

When ignorance or ill-will threatens the institution or any part of it, the governing board must be available for support. In grave crises it will be expected to serve as a champion. Although the action to be taken by it will usually be on behalf of the president, the faculty, or the student body, the board should make clear that the protection it offers to an individual or a group is, in fact, a fundamental defense of the vested interests of society in the educational institution.[4]

IV. The Academic Institution: The President

The president, as the chief executive officer of an institution of higher education, is measured largely by his capacity for institutional leadership. He shares responsibility for the definition and attainment of goals, for administrative action, and for operating the communications system which links the components of the academic community. He represents his institution to its many publics. His leadership role is supported by delegated authority from the board and faculty.

As the chief planning officer of an institution, the president has a special obligation to innovate and initiate. The degree to which a president can envision new horizons for his institution, and can persuade others to see them and to work toward them, will often constitute the chief measure of his administration.

The president must at times, with or without support, infuse new life into a department; relatedly, he may at times be required, working within the concept of tenure, to solve problems of obsolescence. The president will necessarily utilize the judgments of the faculty, but in the interest of academic standards he may also seek outside evaluations by scholars of acknowledged competence.

It is the duty of the president to see to it that the standards and procedures in operational use within the college or university conform to the policy established by the governing board and to the standards of sound academic practice. It is also incumbent on the president to insure that faculty views, including dissenting views, are presented to the board in those areas and on those issues where responsibilities are shared. Similarly the faculty should be informed of the views of the board and the administration on like issues.

The president is largely responsible for the maintenance of existing institutional resources and the creation of new resources; he has ultimate managerial responsibility for a large area of nonacademic activities, he is responsible for public understanding, and by the nature of his

office is the chief spokesman of his institution. In these and other areas his work is to plan, to organize, to direct, and to represent. The presidential function should receive the general support of board and faculty.

V. The Academic Institution: The Faculty

The faculty has primary responsibility for such fundamental areas as curriculum, subject matter and methods of instruction, research, faculty status, and those aspects of student life which relate to the educational process. On these matters the power of review or final decision lodged in the governing board or delegated by it to the president should be exercised adversely only in exceptional circumstances, and for reasons communicated to the faculty. It is desirable that the faculty should, following such communication, have opportunity for further consideration and further transmittal of its views to the president or board. Budgets, manpower limitations, the time element, and the policies of other groups, bodies and agencies having jurisdiction over the institution may set limits to realization of faculty advice.

The faculty sets the requirements for the degrees offered in course, determines when the requirements have been met, and authorizes the president and board to grant the degrees thus achieved.

Faculty status and related matters are primarily a faculty responsibility; this area includes appointments, reappointments, decisions not to reappoint, promotions, the granting of tenure, and dismissal. The primary responsibility of the faculty for such matters is based upon the fact that its judgment is central to general educational policy. Furthermore, scholars in a particular field or activity have the chief competence for judging the work of their colleagues; in such competence it is implicit that responsibility exists for both adverse and favorable judgments. Likewise there is the more general competence of experienced faculty personnel committees having a broader charge. Determinations in these matters should first be by faculty action through established procedures, reviewed by the chief academic officers with the concurrence of the board. The governing board and president should, on questions of faculty status, as in other matters where the faculty has primary responsibility, concur with the faculty judgment except in rare instances and for compelling reasons which should be stated in detail.

The faculty should actively participate in the determination of policies and procedures governing salary increases.

The chairman or head of a department, who serves as the chief representative of his department within an institution, should be selected either by departmental election or by appointment following consultation with members of the department and of related departments; appointments should normally be in conformity with department members' judgment. The chairman or department head should not have tenure in his office; his tenure as a faculty member is a matter of separate right. He should serve for a stated term but without prejudice to re-election or to reappointment by procedures which involve appropriate faculty consultation. Board, administration, and faculty should all bear in mind that the department chairman has a special obligation to build a department strong in scholarship and teaching capacity.

Agencies for faculty participation in the government of the college or university should be established at each level where faculty responsibility is present. An agency should exist for the presentation of the views of the whole faculty. The structure and procedures for faculty participation should be designed, approved, and established by joint action of the components of the institution. Faculty representatives should be selected by the faculty according to procedures determined by the faculty.

The agencies may consist of meetings of all faculty members of a department, school, college, division, or university system, or may take the form of faculty-elected executive committees in departments and schools and a faculty-elected senate or council for larger divisions or the institution as a whole.

Among the means of communication among the faculty, administration, and governing board now in use are: (1) circulation of memoranda and reports by board committees, the administration, and faculty committees, (2) joint *ad hoc* committees, (3) standing liaison committees, (4) membership of faculty members on administrative bodies, and (5) membership of faculty members on governing boards. Whatever the channels of communication, they should be clearly understood and observed.

On Student Status

When students in American colleges and universities desire to participate responsibly in the government of the institution they attend, their wish should be recognized as a claim to opportunity both for educational experience and for involvement in the affairs of their college or university. Ways should be found to permit significant student participation within the limits of attainable effectiveness. The obstacles to such participation are large and should not be minimized: inexperienced, untested capacity, a transitory status which means that present action does not carry with it subsequent responsibility, and the inescapable fact that the other components of the institution are in a position of judgment over the students. It is important to recognize that student needs are strongly related to educational experience, both formal and informal. Students expect, and have a right to expect, that the educational process will be structured, that they will be stimulated by it to become independent adults, and that they will have effectively transmitted to them the cultural heritage of the larger society. If institutional support is to have its fullest possible meaning it should incorporate the strength, freshness of view, and idealism of the student body.

The respect of students for their college or university can be enhanced if they are given at least these opportunities: (1) to be listened to in the classroom without fear of institutional reprisal for the substance of their views, (2) freedom to discuss questions of institutional policy and operation, (3) the right to academic due process when charged with serious violations of institutional regulations, and (4) the same right to hear speakers of their own choice as is enjoyed by other components of the institution.

Reproduced with permission from **Policy Document and Reports** (Washington D. C.: American Association of University Professors, 1973), pp. 35-39.

1. The Annual Meeting approved the Statement.
2. See the 1940 **Statement of Principles on Academic Freedom and Tenure** and the 1958 **Statement on Procedural Standards in Faculty Dismissal Proceedings**. These statements have been jointly approved or adopted by the Association of American Colleges and the American Association of American Colleges and the American Association of University Professors; the 1949 Statement has been endorsed by numerous learned and scientific societies and educational associations.
3. With respect to faculty members, the 1940 **Statement of Principles on Academic Freedom and Tenure** reads: "The college or university teacher is a citizen, a member of a learned profession, and an officer of an educational institution. When he speaks or writes as a citizen, he should be free from institutional censorship or discipline, but his special position in the community imposes special obligations. As a man of learning and an educational officer, he should remember that the public may judge his profession and his institution by his utterances. Hence he should at all times be accurate, should exercise appropriate restraint, should show respect for the opinion of others, and should make every effort to indicate that he is not an institutional spokesman."
4. The American Association of University Professors, recognizing the growth of autonomous state-wide bodies superordinate to existing Boards of Trustees, regards the objectives and practices recommended in the 1966 *Statement* as constituting equally appropriate guidelines for such bodies. As newer, and more influential components of the academic community, they bear particular responsibility for protecting the autonomy of individual institutions under their jurisdiction and for implementing policies of shared responsibility as outlined in Section II when they displace functions of institutional governing boards. (Adopted by the AAUP Council in May, 1972.)

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APPENDIX 5

SPECIFIC RIGHTS AND RESPONSIBILITIES OF FACULTY

Where appropriate, this manual has delineated the central position and role of faculty within the university. Because of this role, faculty have been granted specific rights and are expected to assume appropriate responsibilities and obligations.

These rights and responsibilities are stated in the following three documents. The first two are statements on "Academic Freedom and Responsibility" and "Professional Responsibilities," both prepared by the Ohio Faculty Senate. The second document is a statement on "Faculty Rights and Responsibilities," recently approved by the Faculty Senate and Board of Trustees of the University of Cincinnati.

THE OHIO FACULTY SENATE
STATEMENT ON ACADEMIC FREEDOM AND RESPONSIBILITY

The Ohio Faculty Senate offers this statement on Academic Freedom and Responsibility to guide the faculties of public institutions of higher education in Ohio in the interpretation and execution of their professional duties.

I. Academic freedom is essential to the functioning of a university. It applies to teaching, research, and public service and involves both faculty and students. The principle of academic freedom is designed to protect the faculty member's freedom to teach and to conduct research. It also protects the student's freedom to learn. The faculty member is responsible for providing the student with the same kind of freedom which he claims for himself, namely, the freedom to consider conflicting views and to make his own evaluation of data, evidence and doctrines. Furthermore, the faculty member has a responsibility to maintain an atmosphere conducive to intellectual inquiry and rational discussion.

II. Membership in the academic community imposes on students, faculty members, administrators and trustees an obligation to respect the dignity of others, to acknowledge their right to express differing opinions, and to foster and defend intellectual honesty, freedom on inquiry and instruction, and free expression on and off the campus. The expression of dissent and the attempt to produce change, therefore, may not be carried out in ways which injure individuals or damage institutional facilities or disrupt the classes of one's teachers or colleagues. Speakers on campus must not only be protected from violence, but given an opportunity to be heard. Those who seek to call attention to grievances must not do so in ways that significantly impede the functions of the institution.

III. Students are entitled to an atmosphere conducive to learning and to equitable treatment in all aspects of the teacher-student relationship. Faculty members may not refuse to enroll or teach students on the grounds of their beliefs or the possible uses to which they may put the knowledge to be gained in a course. The student should not be forced by the authority inherent in the instructional role to make particular personal choices as to political action or his own part in society. Evaluation of students and the award of credit must be based on academic performance, professionally judged and not on matters irrelevant to that performance, whether personality, race, religion, degree of political activism, or personal beliefs.

IV. It is a teacher's mastery of his subject and his own scholarship which entitle him to his classroom and to freedom in the presentation of his subject. Thus, it is improper for an instructor persistently to intrude material which has no relation to his subject, or to fail to

present the subject matter of his course as announced to his students and as approved by the faculty in their collective responsibility for the curriculum.

V. Because academic freedom has traditionally included the instructor's full freedom as a citizen, most faculty members face no insoluble conflicts between the claims of politics, social action, and conscience, on the one hand, and the claims and expectations of their students, colleagues, and institutions, on the other. If such conflicts become acute, and the instructor's attention to his obligations as a citizen and moral agent precludes the fulfillment of substantial academic obligations, he cannot escape the responsibility of that choice, but should either request a leave of absence or resign his academic position.

VI. The traditional faculty function in disciplinary proceedings has been to assure academic due process and meaningful faculty participation in the imposition of discipline. While this function should be maintained, faculties should recognize their stake in promoting adherence to norms essential to the academic enterprise. Accordingly, they should utilize procedures for evaluation of academic performance consonant with professional standards of excellence and the educational mission of the institution.

Adopted March 13, 1971

THE OHIO FACULTY SENATE
STATEMENT ON PROFESSIONAL RESPONSIBILITIES

I. To his students
  A. In course
    1. Grading
      a. In-course grading criteria should be clearly formulated by the instructor, and these criteria should be explained to each class at the beginning of the course.
      b. All work performed by students in the course (including oral participation where appropriate) should be seriously considered and evaluated; written work should be returned promptly.
      c. The instructor should provide opportunities for review of grades in order that students may understand the reasons for particular grades and obtain guidance toward improvement.
    2. Office hours
      a. Hours should be reasonable in quantity, time of day, and campus location.
      b. Hours should be posted near the instructor's office, and listed with the appropriate secretary.
      c. Provision should be made for special appointments wherever hardship or difficulty arises.
      d. Scheduled office hours should be observed conscientiously.
    3. Classes
      a. The instructor should prepare conscientiously for each class session (including arrangements for teaching aids, guests, etc., whenever applicable).
      b. The instructor should meet classes promptly and should, out of consideration for both students and colleagues, dismiss not later than the scheduled time.
      c. Whenever any change is anticipated in scheduled time or place of meeting, the instructor should provide adequate notice to the class. Where appropriate (e.g., small classes, evening classes which frequently involve considerable travel for some students), some procedure should be established for emergency notice to students.
      d. The instructor should provide for and conscientiously consider valid means for course evaluation by students.
      e. The instructor should strive continuously and conscientiously to improve the effectiveness of his teaching, and to this end should seek counsel and constructive criticism from colleagues.
    4. Tests and examinations
      a. The instructor should make clear in advance the areas (lecture, text chapters, other) to be covered on any test or examination.

b. He should, by explicit word and implicit classroom conduct, make clear to his students what emphasis he places upon facts or data and what upon synthesis or thought.

c. It is the instructor's responsibility to promote adequate standards of linquistic expression (e.g. spelling, general grammatical and syntactical clarity, organization, and form).

d. The instructor must, both in fairness to those students who conscientiously prepare and to prevent those who do not from taking advantage of others, assure during tests an atmosphere conducive to the highest standards of honesty.

5. Counseling and advising

a. While the university provides both general and specific counseling services as a discreet function, the instructor will often have more intimate knowledge of his own college, department, and field; such knowledge provides him with unique insights, and he has, therefore, a right and an obligation to counsel and advise students within his area of competence.

b. In general, the instructor is obligated to respect each student as a human being, to recognize that he has the feelings and inadequacies common to the human condition, and to recognize that he has both human and civil rights.

II. To the University and his colleagues

A. Records

1. The instructor is responsible for maintaining adequate records of student performance in course.

2. He is responsible for keeping adequate records of course content and assignments.

B. The professional should endeavor to maintain and develop awareness and understanding of areas impinging upon his own field.

C. He should willingly serve on a reasonable number of committees concerned with curricular development and general University governance at departmental, collegiate, and university levels.

D. He should contribute to the continuance and improvement of educational quality within the University through strong and active participation in selection of new faculty, and in decisions on promotion, tenure, and other recognitions of merit.

E. The professional is obligated to promote by precept and example a general atmosphere within the University of respect for knowledge, thought, and inquiry, even when — indeed especially when — such may be at variance with his own ideas.

1. He respects his colleagues and his students, without reservation or favor because of race, national origin, religion, sex, degree or rank, discipline, or political sentiments.

2. He contributes positively to reasonable orderliness within the University community.

III. To his discipline

A. He continues his growth within his field and related areas.

B. He shares matured concepts with others through his teaching, and through creative endeavors, research and attendance at and participation in professional associations and meetings.

IV. To self

A. The professional seeks continuously to improve his own value as a teacher and as a citizen.

B. He seeks diligently to improve the teaching-working environment within the University structure.

1. by promoting a general atmosphere of intellectual and social growth, and

2. by seeking just and equitable compensation — including the concept of released time for professional growth.

C. He actively contributes to the education and development of persons and groups outside the University proper, in order to promote improved reciprocal understanding and acceptance of the roles of education, the University itself, his own discipline, and his profession in American and world society.

Adopted September 27, 1972

APPENDIX 5

UNIVERSITY OF CINCINNATI FACULTY RIGHTS AND RESPONSIBILITIES A PROFESSIONAL CODE

A college or university faculty member's principal functions are the teaching, discovery, creation and reporting of knowledge. In order to successfully carry out these functions, special protections or rights are acknowledged to be essential. These rights are known collectively as academic freedom, and in special form, as academic tenure. Since these rights are accorded faculty solely to foster and protect the academic function, they carry with them corresponding obligations or responsibilities of the individual to perform the protected functions. A body of such rights and the associated responsibilities taken together constitute a professional code for faculty conduct. Stated as a set of guidelines or goals, rather than as legal rules, the main ingredients of this code are as follows.

Code of Professional Conduct

1. A faculty member has the right to teach a subject in his field of scholarship as he sees it, and to relate the material to relevant contemporary issues. His corresponding obligation is to maintain currency in his field and to deal competently with the announced subject matter of his course.
2. To protect the free flow of information and to provide the conditions for continuity of teaching and research a faculty member has the continuing right to academic freedom and, after a probationary period to prove his competence, to tenure. These rights are designed to protect the academic function, and are not intended to shield laziness or incompetence; they carry the concomitant responsibility to perform conscientiously and competently.
3. The right of faculty to participate in university governance is accompanied by the obligation to do so in reasonably allocated measure.
4. The right to assign work to students that may contribute to their own, or to general knowledge, is accompanied by the obligation not to exploit them or to infringe **their** academic freedom, and to give full credit for work done by them.
5. The right to due process in possible actions against himself entails the faculty member's obligation to utilize nondisruptive means to seek changes in policy or performance of colleagues, students, or administration. The right to freedom from harassment and intimidation in his own work entails the obligation to refrain from using such methods against others. With respect to university rules, as with ordinary laws, the use of civil disobedience to achieve or publicize one's goals involves a preparedness to accept the normal penalties for violation.
6. The right to protest acts of government, society, or university, and to hold intense views about these actions, is accompanied by the responsibility to continue to perform one's normal functions and to avoid actions that disrupt the functioning of others. If fear or outrage should temporarily interfere with a faculty member's performance of his duties he should attempt promptly to recoup such loss. The purposeful absence of some students as an act of social protest does not reduce faculty responsibility to the remaining students. (This paragraph implies no position regarding collective bargaining or strikes, which are covered by special law.)
7. The right to open flows of information and opinion in faculty relations with students carries the obligation to avoid comments or violations of confidentiality that would chill free expression or inquiry by students.
8. A faculty member has the right to publish his research findings and the right to protection against retaliation because of displeasure over his conclusions by the public, administration, government, or others. He has the concomitant responsibi...y to refrain from conducting secret, nonpublishable research as part of his university duties, and to refrain from imposing his own values on his decisions about publishing valid research findings.

9. As part of academic freedom the faculty member has the right to have his off-campus activities considered essentially his own business. He has the corresponding obligation to avoid off-campus actions that would directly call into question his professional competence, integrity, or respect for the rights of others, and to accept the possible relevance of such behaviors to the assessment of his fitness for faculty membership. Judgments in these matters are to be based solely on personal behavior, not on mere membership or physical presence in some organization or movement. Violation of the law does not **per se** demonstrate unfitness, and its implications must be judged on their own merits. If outside activity significantly inhibits his intellectual honesty on campus the faculty member has the obligation to give up one activity or the other.
10. The faculty member's right to speak his mind publicly involves the obligation not to represent himself as speaking for any other segment of the university community unless he is so authorized.
11. Although a general commitment to intellectual integrity does not infringe the right to even highly partisan espousal of particular causes, when one is identified as a member of the university faculty he should be responsive to a general expectation of intellectual honesty.
12. A general right to select one's methods and topics of research does not itself include the unrestricted right to conduct experiments involving human subjects, even if the subjects are themselves the primary learners from the experiment. Whenever such research involves significant risk of adverse physical or psychological consequences it must be conducted in scrupulous conformance with university policy regading such research.
13. A faculty member has the right to engage in some collateral employment, if he accepts the obligation to see that it does not interfere with his obligations to the university or create a conflict of interest. When the amount of time or compensation is large enough to suggest interference with duties or possible bias in the faculty member's judgment, he should carefully follow university procedures on the matter. The faculty member should avoid making significant use of university equipment or materials for personal gain except on terms agreed to by the university, particularly when such use involves explicit cost to the university.
14. Nothing in this code is intended to supersede more explicit codes in particular professions or disciplines.

APPENDIX 6

RESPONSIBILITIES OF ADMINISTRATIVE, PROFESSIONAL, AND TECHNICAL PERSONNEL

In searching for appropriate statements on the rights and responsibilities of non-instructional personnel, the Task Force quickly realized a great void of material. The Task Force chose not to develop a "model" statement, believing that such declarations should eminate from the respective employees themselves.

The following statement, taken from Wright State University's **Handbook for the Unclassified Staff**, defines the responsibilities of unclassified personnel.[1]

The university establishes the following minimal standards of performance and conduct of all unclassified employees in fulfilling their professional obligations. These standards are not inclusive but are intended as general guidelines. Similar guidelines exist for classified employees and it is expected that they will be developed for faculty. Failure to meet these standards may subject the employee to disciplinary action and/or termination of employment.

The employee is expected to:

1. Describe honestly his professional qualifications with full disclosure of all pertinent facts. Upon acceptance of a position, establish and maintain a practice of openness and honesty. Refrain from any deliberate misrepresentation or dishonesty in offcial matters and from fraud, falsification, or exaggeration. Refrain from deliberate concealment of a material fact in connection with an official document such as time and attendance, travel, or other claims. Refrain from withholding material facts in connection with matters under official investigation.
2. Function as a responsible and loyal member of the administrative unit to which he is assigned and represent it to others in a fair and accurate manner.
3. Accept responsibility assigned to him and cooperate by timely completion of the assigned work or duties.
4. Refrain from disorderly conduct, such as the use of disrespe ful, abusive, or offensive language, or the use of threatening or intimidating acts or language, or coercion against fellow employees, supervisors, students, or administrators.
5. Recognize the authority of supervisors to interpret the university's official policies. Maintain professional standards when disagreeing with university policies or procedures. Base criticisms on careful evaluation of all the facts. Refrain from making false, malicious, or unauthorized statements or disclosures concerning other employees, students, administrators, or the university. In case of a disagreement, participate and conduct himself in a responsible manner in suggesting changes in or development of future policies affecting the university.
6. Conduct professional business through authorized channels.
7. Recognize that actions which constitute breaches of law or flagrant violations of the generally accepted social codes of the community may be construed as professional misconduct.
8. If a full-time employee, engage in no unauthorized outside employment. Permit no commercial exploitation of his professional position, and accept no gratuities that might influence his judgment in the exercise of his professional duties.
9. Respect and observe the conditions under which confidential information is obtained and used.
10. Use university facilities and property only for their intended purposes, consistent with applicable policy, law, and regulation.
11. Be aware of all relevant university rules and regulations which pertain to his activities.

1 **Handbook for the Unclassified Staff** (Dayton, Ohio: Wright State University, July, 1971), pp. 11-13. Unclassified personnel includes "all presidents, business managers, administrative officers ... deans, assistant deans, instructors, teachers and such employees as are engaged in educational or research duties ..." (Ohio Revised Code 143.09.A7, as quoted in the **Handbook**, p. 5).

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APPENDIX 7

OCCUPATIONAL SAFETY AND HEALTH ACT PUBLICATIONS LIST[1]

1. Superintendent of Documents
   U. S. Government Printing Office
   Washington, D.C. 20402

   — Federal Register — Published Daily — $25 per year — $2.50 per month — 20¢ per issue
   — Safety Standards — Published bi-monthly — $1.00 per year — 20¢ per copy

2. **OSHA**
   Room 1140, 1726 M Street
   Washington, D. C.

   — The Act — 20¢
   — Initial Standards Package — 20¢
   — Construction Safety Standards — 20¢
   — Record Keeping Packet — Free — single copies only
   — OSHA Directives — Free — single copies only
   — Handy Reference Guide — 20¢
   — Compliance Operations Manual — $3.00

3. NIOSH
   Office of Information
   Parklawn Boulevard
   5600 Fisher Lane
   Rockyville, Md. 20852

   — "Occupational Disease — Silent Enemy" — Free

4. National Safety Council
   425 North Michigan Avenue
   Chicago, IL 60611

   — National Safety News — published monthly — $8.80 per year — $1.35 per copy
   — OSHA Up to Date — monthly — $2.00 per year
   — Newsletters, etc.

5. Occupational Hazards
   614 Superior Avenue, West
   Cleveland, Ohio 44113

   — Occupational Hazards Magazine — published monthly —
   $12.00 per year — $1.25 per copy

6. Bureau of National Affairs
   1231-25th Street, N.W.
   Washington, D. C. 20037

   — Complete Service — $176.00 per year
   — "Impact of OSHA on Personnel Management,"
   BNA's Bulletin to Management, No. 1204 —
   Part 2 (March 8, 1973)

APPENDIX 7

7. Commerce Clearing House, Inc.
   4020 West Glenlake Avenue
   Chicago, IL 60646

   — Complete Service — $175-$225

8. Bureau of Business Practices
   Waterford, Conn. 06385

   — Tapes:
   1. New Safety Laws (30 minutes) — $10.00
   2. Your Role in Safety (30 minutes) — $6.00

   — What Every Supervisor Must Know About OSHA — $1 75
   — What Every Manager Must Know About OSHA — $2.00

1. Prepared by the Safety Council of the Columbus Area Chamber of Commerce, Columbus, Ohio

APPENDIX 8

A SUGGESTED RECORDS RETENTION SCHEDULE[1]

The first cabinet-full of antique records you destroy is the hardest; the rest come easier. We've outlined the *minimum* periods that records must be maintained under principal state and federal laws. Often records may have value to you beyond the minimum period demanded by law: Here each company is on its own. But without a firm timetable for junking old records, the mountain of paper will, of its own momentum, continue to grow.

Prentice-Hall surveyed over 200 companies on their record keeping practices. The results are tabulated below. It's a good starting point in developing your own records retention schedule.

SUGGESTED TIME SCHEDULES FOR DESTRUCTION OF RECORDS[1]

2 to 3 years

Acknowledgments
Bank statements
Bond paid interest coupon[2]
Correspondence, general
Delivery receipts
Payroll checks, voided
Tabulating machine cards
Time cards

3 to 4 years

Claims closed, by company
Customer account records, closed
Deposit slips
Finish goods, inventory records
Insurance policies, expired (all types)
Proxies
Purchase orders
Requisitions
Tariffs

4 to 5 years

Bills of lading
Correspondence with applicants
Employees' applications (after termination)
Employees' tax withholding statements
Express receipts
Freight bills
Freight claims (after expiration)
Freight drafts
Labor contracts (after expiration)
Manifests
Remittance statements
Receiving reports
Sales slips
Salesmen's expense accounts
Service reports
Shipping tickets

5 to 6 years

Correspondence, license
Correspondence, purchase
Correspondence, traffic
Complaint reports
Credit memos
Employees' daily time reports
Equipment inventory records
Insurance, fire inspection reports
Internal audit reports
Monthly trial balances
Payroll, overtime
Photographs of installations, etc.
Price exceptions and adjustments
Safety reports
War contracts and all papers pertaining thereto

6 to 7 years

Bond registers
Bonds, cancelled
Claims, closed, against company
Contracts and agreements (expired)
Correspondence, war bonds
Credit files
Employee records (terminated)
Expense reports
Federal income tax returns
Insurance, group disability
Inventory, recaps
Invoices, copy to order
Invoices, paid
Patent assignments
Payroll bonus
Payroll, general
Payroll, part time
Payroll, temporary
Price and policy bulletins (superseded)
Real estate records (after disposal of land and buildings)
Stock dividends checks, cancelled
Stockholder lists

7 to 8 years

Checks, payroll
Commission statements
Correspondence, production
Cost statements
Employees' earning record

APPENDIX 8

Employees' salary & wage rate change
Insurance, pensions (after expiration)
Purchase orders for capital expenditure
Sales sheets
Specification sheets

3 to 9 years

Accident reports (after settlement)
Agreements, leases (after expiration)
Checks, dividend
Checks, general
Checks, petty cash
Compensation cases (after closing)
Engineering problems (killed)
Vouchers, cash
Vouchers, numeric copy

9 to 10 years

Vouchers, A-Z copy
Voucher register

10 years

Insurance claims (after settlement)
Payroll, Series E Bonds (life of bond)
Vouchers, capital expenditure

17 years

Agreements, licenses

Permanent

Agreements, deeds
Applications filed with regulatory agencies
Engineering and research project records
ledgers and journals, cash
Ledgers and journals, customer
Ledgers and journals, general
Ledgers and journals, payroll
Ledgers and journals, plant
Ledgers and journals, royalty
Ledgers and journals, stock
Minutes, executive
Minutes, stockholders
Patents
Plant surveys
Property papers
Reports, annual
Reports, audit
Securities registration documents
Stock certificates
Stock transfer
Taxes, federal
Taxes, property
Taxes, sales and use
Taxes, state
Time study reports
Unsolicited outside suggestions

NOTES: (1) The Uniform Preservation of Private Business Records Act has been enacted by several states. Under the Act business records may be destroyed after three years unless some other time limit is prescribed by some other law. Business records covered by the Act may be destroyed sooner if miniature reproductions are made pursuant to a general plan, the records are available for state inspection and other conditions are met. The miniatures may be introduced into evidence. Note: The Act does not cover corporate minute books.

(2) Suggested periods of retention are optional. If the document is destroyed, a certificate should be completed describing contents of the document; have it signed by an authorized person.

Making a survey of the records you now have.—To set up the records retention schedule, a complete survey is necessary. Generally, this survey will be made by a special committee appointed for this purpose. The committee should include at least an attorney, representatives of the treasurer's office and the secretary's office, and the file supervisor. The committee should, of course, work closely with the various department heads and with representatives' of the planning and methods departments, if there are any.

A special form for this survey is almost obligatory. Our sample form has been devised just for this purpose, although it can, of course, be adapted to fit any special needs or situations. One of these forms should be completed for every type of paper handled.

WHAT TO DO Before making the inventory, a list of all the types of records to be inventoried should be prepared. In this way, nomenclature difficulties can be avoided so that all "customer correspondence," for example, will bear the same time number on the inventory sheet.

After the inventory has been completed, and records checked for unnecessary duplications, the committee will take into account both the legal and business factors in determining how long each type of record should be kept. Important in its decision generally will be a determination as to the present practice, not only within the company, but also in other business.

On completion of the survey, an alphabetical list of all the records should be drawn up with the length of time each record is to be retained indicated opposite each entry. Each department should also have its own list, broken down into the records it maintains.

WHAT TO DO After approval, run off copies of the list on a duplicating machine so that each department will have enough to meet its needs. As the new schedule is put to use, have one person available to answer any questions as to its use and to collate any comments or criticisms that may be important in a future revision.

Sample Inventory Sheet for Records Survey

Financial Division Office Management Department	RECORD RETENTION	No. Date: Page
Item Number		
Department		
Description and Purpose		
Origin		
Classification	☐ Vital ☐ Important ☐ Useful ☐ Temporary	
Reason for Retention		
How Filed		
Location — Active		
Location — Inactive		
Retention Period		
Approvals		Dept. Mgr. Div. Head

1. Reprinted with permission from: **Executive Report: Your Business Records** published by Prentice-Hall, Inc., Englewood Cliffs, New Jersey.

APPENDIX 9

EVALUATING PERSONNEL PROGRAMS[1]

The following list is by no means inclusive. All phases of personnel practice should be audited and the methods of evaluation should reflect the area being audited by the personnel staff. The list is an illustration of areas and related methods.

Personnel Functions to be Evaluated:
- Organization of the personnel program and office
- Budgeting personnel programs
- Position analysis
- Wages and salaries
- Recruitment and selection
- Development and training
- Performance evaluation
- Contract administration and negotiations
- Employment stabilization
- Grievance procedures
- Health and safety

Records and Statistics to be Used:
- Time standards
- Cost records
- Test results
- Training results
- Interview records
- Work delays
- Numbers of medical reports
- Accident reports
- Grievance reports
- Turnover rates
- Unit personnel costs
- Payroll data

Methods of Analysis:
- Comparisons between various time periods
- Comparisons between departments and with other institutions
- Trend lines, frequency distributions and statistical correlations
- Ratio analysis, e.g., staff-faculty, staff-student, hours worked — productivity
- Classification of data by kinds of employees, programs, departments, etc.
- Graphical or pictorial displays.

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1. Adapted from Michael J. Jucius, **Personnel Management**, 7th ed. (Homewood, Illinois: Richard D. Irwin, Inc., 1971).

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A description of some early retirement programs in effect. Presents questions that each institution should consider in reviewing its retirement practices.

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Guidelines for colleges and universities that are forced to dismiss tenured faculty members for budgetary reasons. Published by the Association of American Colleges.

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